



FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES  
COMMISSIONER ADAM H. PUTNAM

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LEGISLATIVE BUDGET REQUEST

September 15, 2017

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, the Legislative Budget Request for the Florida Department of Agriculture and Consumer Services (FDACS) is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2018-19 Fiscal Year.

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

To that end, this proposal seeks to recognize our hardworking agricultural law enforcement officers and wildland firefighters that selflessly protect Floridians and their property from potentially harmful pests and disease, from fraudulent and criminal activities, and the ever-present threat of wildfire. The department's agricultural law enforcement officers and wildland firefighters are paid substantially less than their counterparts in other state and local agencies resulting in high turnover in these critically important positions. My budget proposal includes a

\$10,000 increase for each agricultural law enforcement officer and wildland firefighter in the department to bring their pay in line with other competing employers and improve retention in these positions where experience matters most.

This year's proposal also seeks to further address the threat of wildfires in Florida by replacing old and unreliable fire suppression equipment. The 2017 wildfire season has been one of the most active in recent years with 2,672 wildfires burning more than 262,000 acres. Fortunately, there has been no loss of life, but several pieces of fire suppression equipment, including a helicopter and fixed wing aircraft, needs to be replaced due to their increased use in harsh fire conditions. Aerial equipment, along with dozers, tractors and transports are necessary to keep the firefighters safe from harm and enable them to continue to protect our state from wildfire. My request includes \$11.4 million to purchase replacement fire suppression equipment and give our firefighters the tools they need to safely combat wildfires in Florida.

Florida's agriculture industry continues to be a pillar of the state economy, but it has suffered substantial impacts from foreign imports, including a wide array of Mexican agricultural products that compete directly with Florida agricultural products. Recognizing the importance of the agricultural industry to the state economy and the importance of maintaining local food sources for a state population that continues to grow each year, my budget proposal includes \$5 million to promote Florida's agricultural products through our Florida Agricultural Promotional Campaign. The "Fresh from Florida" brand has become recognized worldwide through domestic and international retail partnerships and serves to represent the state's 47,500 farmers, that often cannot afford to market their own products.

Florida citrus is our most famous agricultural product, and it too needs continued support from the state to deal with the devastation of citrus greening. As you know, citrus greening has infected all of Florida's commercial groves. This bacterial disease destroys the shape and taste of the fruit, and eventually kills citrus trees. The citrus crop for the 2016-2017 season is estimated at 68.7 million boxes of oranges, which represents a decline of more than 70 percent since the peak of citrus production just two decades ago. In partnership with the U.S. Department of Agriculture and the Citrus Research Development Foundation, we must continue to fight the spread of greening and save Florida's signature crop. My budget proposal includes \$17.6 million to safeguard what's left of the industry and support further research for a cure.

Florida's water supply is the most significant long-term challenge facing our state. I'm encouraged by the progress we've made in recent years to improve the health of our water and grow the supply we need to meet future demands. A healthy and abundant supply of water is crucial to our state, its people, its environment and its economy. It is my hope that the Legislature will continue to make this issue a top priority. My request includes \$25 million to support restoration projects around Lake Okeechobee and other sensitive areas across the state, to help farmers mitigate their impact on the surrounding natural resources.

I'm also requesting a record investment in Florida's Rural and Family Lands Protection Program, a conservation program that protects Florida's environmentally sensitive lands through partnerships with private landowners. To date, more than 37 partnerships with Florida families have been approved to preserve more than 36,000 acres of precious landscape from future

development. My request for 2018-19 includes \$75 million to purchase conservation easements that will not only prevent future development, but also protect natural resources and provide critical wildlife habitat. Furthermore, by keeping these lands in private hands and in operation, we're supporting the local economy.

Finally, we are in the very early stages of assessing the damages associated with Hurricane Irma, but it is abundantly clear that the impacts on Florida's agricultural industry will be widespread and long lasting. We will continue to respond to the challenges resulting from this natural disaster and will likely request additional funding during the supplemental budget period to help our industry, and the many citizens that rely on it, to recover.

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

Thank you for your consideration.

Sincerely,



Adam H. Putnam  
Commissioner of Agriculture

## Temporary Special Duty – General Pay Additives Implementation Plan for Fiscal Year 2018-2019

Section 110.2035(7)(b), Florida Statutes, provides that each state agency shall include in its annual legislative budget request a proposed written plan for implementing temporary special duties—general pay additives during the next fiscal year. Pay additives are a valuable management tool which allows agencies to recognize and compensate employees for identified duties without providing a permanent pay increase. The Department of Agriculture and Consumer Services is requesting approval to implement temporary special duties—general as described below. The agency is not requesting any additional rate or appropriations for these additives.

### **Temporary Special Duties—General**

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

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

**Justification:**

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

**Effective date of additive:**

The additive will be in effect beginning the first day of the added duties or, when the temporary special duty is for an employee covered by the AFSCME contract or the PBA agreement, the additive must be effective no later than the 23<sup>rd</sup> day if the employee has been assigned duties of a higher level position for a period of more than 22 workdays within any six consecutive months.

**Length of time additive will be used:**

The additive will be in effect for the length of time the position is vacant or until such time as management decides that the additional duties can be removed from the employee receiving the additive, but in either case no longer than 90 days without agency review to decide if it should be sent to the Department of Management Services for an extension.

**Additive Amount:**

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

**Classes/Positions affected:**

Any Career Service classification could be affected by the provisions of this plan so it is not possible to predict exactly which temporary special duty additives will occur in FY 17/18. However, there were thirteen temporary special duty additives (not including those for absent coworker for military/FMLA leave purposes) that were provided during the FY 16/17.

**Historical data:**

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

**Estimated annual cost:**

The last fiscal year's annual cost for temporary special duty additives (not including those for absent coworker for military/FMLA leave purposes) was \$11,512.96.

**Collective Bargaining Units impacted:**

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

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

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

#### PBA-Law Enforcement Unit-Article 21-Acting Ranks

##### Section 1-Eligibility

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

##### Section 2-Method of Compensation

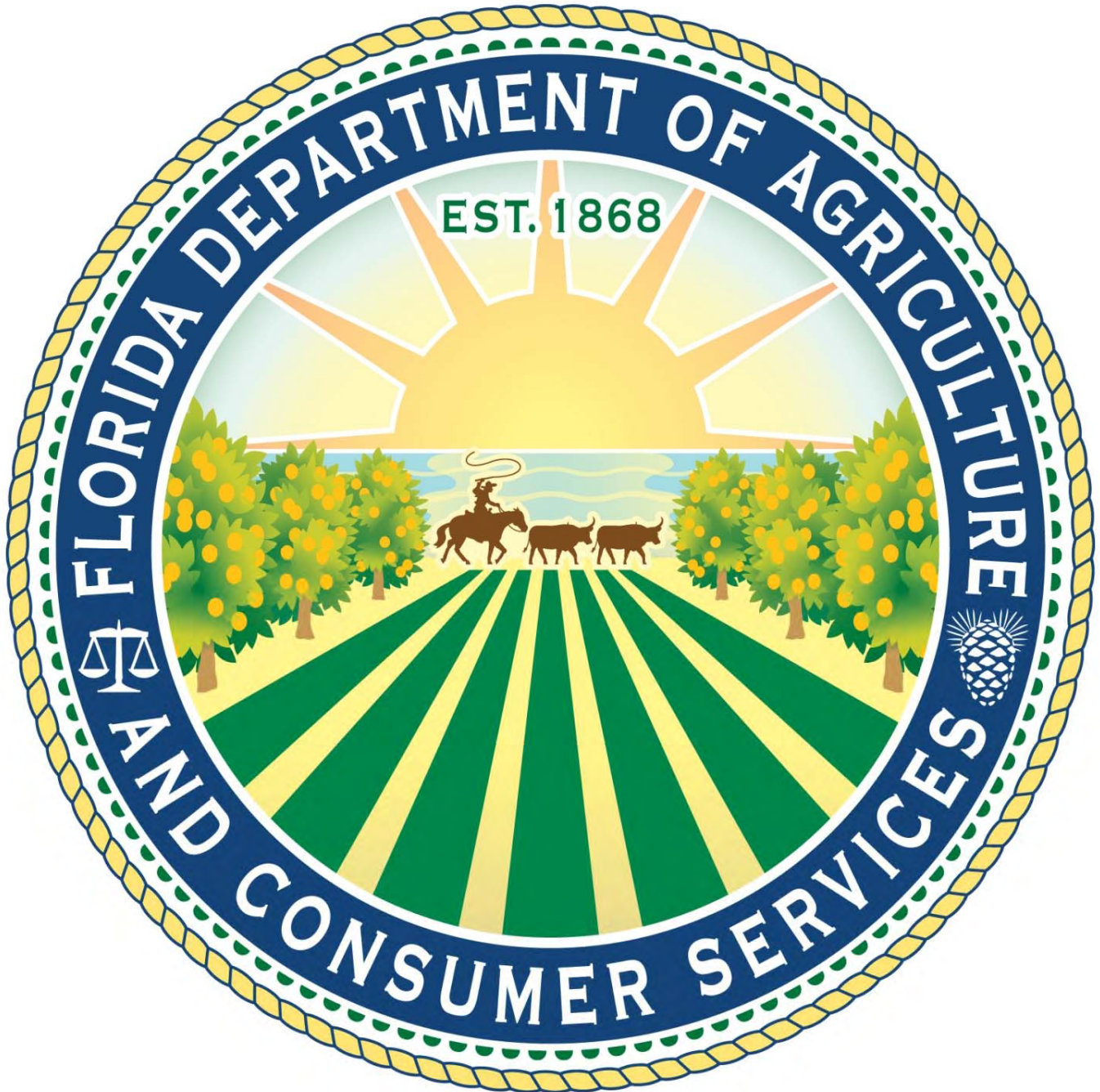
It is understood by the parties that, insofar as pay is concerned, employees temporarily filling a position in a higher broadband level shall be paid according to the same compensation method as permanent promotees under the Rules of the State Personnel System.

##### Section 3-Return to Regular Rate

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

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

DEPARTMENT LEVEL EXHIBITS AND SCHEDULES



LEGISLATIVE BUDGET REQUEST  
2018 - 2019

## Schedule VII: Agency Litigation Inventory

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

<b>Agency:</b>	Florida Department of Agriculture and Consumer Services		
<b>Contact Person:</b>	Wesley R. Parsons	<b>Phone Number:</b>	305-347-3123
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Pompano Beach, et al. v. FDACS (a/k/a In re Citrus Canker Litigation, Cox and Bogorff)		
<b>Court with Jurisdiction:</b>	Broward County Circuit Court		
<b>Case Number:</b>	00-18394		
<b>Summary of the Complaint:</b>	Lawsuit for compensation for removal of canker-exposed citrus trees in Broward County under theories of inverse condemnation and statutory liability, and lawsuit for writ of mandamus.		
<b>Amount of the Claim:</b>	See "Status of the Case."		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1845 (2005); § 11.066 (2016).		
<b>Status of the Case:</b>	Circuit court certified class of Broward County homeowners whose canker-exposed citrus trees were removed. Liability was found against the FDACS. Final judgment for \$8,043,501 was entered against the FDACS, and the judgment was affirmed by the Fourth District Court of Appeal. A judgment for attorneys' fees and costs in the amount of \$4,133,083 was awarded against the FDACS. Interest at the statutory rate is running on the judgments. Plaintiffs have filed a complaint for writ of mandamus and to declare Fla. Stat. § 11.066(3) and (4) unconstitutional.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>		Agency Counsel	
		Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	Grossman Roth, P.A. Weiss, Serota et al. Lytal Reiter, P.A. Berman Devalerio P.A. Rubin & Barrar Bruce S. Rogow, P.A.		



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<b>Agency:</b>	Florida Department of Agriculture and Consumer Services		
<b>Contact Person:</b>	Wesley R. Parsons	<b>Phone Number:</b>	305-347-3123
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Pompano Beach, et al. v. FDACS (a/k/a In re Citrus Canker Litigation, Cox and Brignoni) (transferred to Miami-Dade County Circuit Court)  Martinez v. FDACS (a/k/a Grove Services)		
<b>Court with Jurisdiction:</b>	Miami-Dade County Circuit Court		
<b>Case Number:</b>	Miami-Dade: 03-8255 (f/k/a Pompano Beach, 02-24436) Martinez: 03-30110		
<b>Summary of the Complaint:</b>	Lawsuits for compensation for removal of canker-exposed citrus trees in Miami-Dade County under theories of inverse condemnation and statutory liability. Pompano Beach and Miami-Dade cover residential trees removed after January 1, 2000, and Martinez covers other residential trees, and commercial trees.		
<b>Amount of the Claim:</b>	Unliquidated, but likely more than \$100 million, plus interest, costs, and attorneys' fees.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1845 (2005).		
<b>Status of the Case:</b>	Certification of a class in Pompano Beach was granted in the trial court, and was affirmed by the Third District Court of Appeal. At trial of the inverse condemnation claim, the circuit judge found no liability on behalf of the FDACS. An order on summary judgment finding liability on the basis of Fla. Stat. § 581.1845 has been entered. In Martinez, the Third District has affirmed the denial of certification of a class action, and the case is not longer being prosecuted.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	Grossman Roth, P.A. Weiss, Serota et al., P.A. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A. Law Offices of Malcolm Misuraca Richard T. Sahuc		

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<b>Contact Person:</b>	Wesley R. Parsons	<b>Phone Number:</b>	305-347-3123
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Mendez v. FDACS		
<b>Court with Jurisdiction:</b>	Palm Beach County Circuit Court		
<b>Case Number:</b>	02-13717 AJ		
<b>Summary of the Complaint:</b>	Lawsuit for compensation for removal of canker-exposed citrus trees in Palm Beach County under theories of inverse condemnation and statutory liability.		
<b>Amount of the Claim:</b>	See “Status of the Case.”		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1845 (2005) ; § 11.066 (2016).		
<b>Status of the Case:</b>	Court certified class of Palm Beach County homeowners whose canker-exposed citrus trees were removed. Liability was found against the FDACS. Final judgment for \$23,653,375 was entered against the FDACS, and the judgment was affirmed by the Fourth District Court of Appeal. Judgments for attorneys’ fees and costs were awarded in the amount of \$2,422,839 and \$60,210 against the FDACS. Interest at the statutory rate is running on the judgments.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	Grossman Roth, P.A. Weiss, Serota et al. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A.		

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<b>Contact Person:</b>	Wesley R. Parsons	<b>Phone Number:</b>	305-347-3123
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Dellaselva v. FDACS		
<b>Court with Jurisdiction:</b>	Lee County Circuit Court		
<b>Case Number:</b>	03-1947		
<b>Summary of the Complaint:</b>	Lawsuit for compensation for removal of canker-exposed citrus trees in Lee County under theories of inverse condemnation and statutory liability, and lawsuit for writ of mandamus.		
<b>Amount of the Claim:</b>	See “Status of the Case.”		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1845 (2005); § 11.066 (2016).		
<b>Status of the Case:</b>	Court certified class of Lee County homeowners whose canker-exposed citrus trees were removed. Liability was found against the FDACS. A final judgment was entered in the amount of \$13,625,249 against the FDACS, and the judgment was affirmed by the Second District Court of Appeal. Judgments for attorneys’ fees and costs were awarded in the amount of \$821,993 and \$70,893 against the FDACS. Interest at the statutory rate is running on the judgments. Plaintiffs have filed a complaint for writ of mandamus and to declare Fla. Stat. § 11.066(3) and (4) unconstitutional, and the circuit court has issued an alternative writ of mandamus.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	Grossman Roth, P.A. Weiss, Serota et al. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A.		

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<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Ayers v. FDACS		
<b>Court with Jurisdiction:</b>	Orange County Circuit Court		
<b>Case Number:</b>	05 CA 4120 #37		
<b>Summary of the Complaint:</b>	Lawsuit for compensation for removal of canker-exposed citrus trees in Orange County under theories of inverse condemnation and statutory liability.		
<b>Amount of the Claim:</b>	See "Status of the Case."		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1845 (2005).		
<b>Status of the Case:</b>	Court certified class of Orange County homeowners whose canker-exposed trees were removed. Liability was found against FDACS. A final judgment in the amount of \$31,534,721 was entered against the FDACS, and the judgment was affirmed by the Fifth District Court of Appeal. A judgment for attorneys' fees and costs was awarded in the amount of \$614,111 against the FDACS. Interest at the statutory rate is running on the judgments.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	Grossman Roth, P.A. Weiss, Serota, Helfman, Pastoriza & Guedes, P.A. Lytal Reiter, P.A. Berman Devalerio P.A. Bruce S. Rogow, P.A.		

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<b>Agency:</b>	Florida Department of Agriculture and Consumer Services		
<b>Contact Person:</b>	Wesley R. Parsons	<b>Phone Number:</b>	305-347-3123
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Patchen v. FDACS		
<b>Court with Jurisdiction:</b>	Miami-Dade County Circuit Court		
<b>Case Number:</b>	00-29271		
<b>Summary of the Complaint:</b>	Lawsuit for compensation for removal of canker-exposed citrus trees belonging to Brian and Barbara Patchen under theory of inverse condemnation.		
<b>Amount of the Claim:</b>	Unliquidated, but estimated at thousands of dollars, plus interest, costs, and attorneys' fees		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1845 (2005).		
<b>Status of the Case:</b>	Summary judgment against the Patchens was reversed by Florida Supreme Court. Further proceedings will be held in the circuit court to determine liability and compensation due plaintiffs, if any. No trial is currently scheduled. This case is not a class action.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	N/A		

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

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<b>Contact Person:</b>	Wesley R. Parsons	<b>Phone Number:</b>	305-347-3123
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	Gary Mahon v. FDACS		
<b>Court with Jurisdiction:</b>	Orange County Circuit Court		
<b>Case Number:</b>	08-CA-30736		
<b>Summary of the Complaint:</b>	Lawsuit for compensation for alleged destruction of nursery citrus.		
<b>Amount of the Claim:</b>	Approximately \$3.4 million, plus interest, costs, and attorneys' fees.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1843.		
<b>Status of the Case:</b>	The trial court dismissed some counts of the complaint and denied dismissal of some counts. A liability trial was conducted in September 2016 and the parties are awaiting a decision by the circuit judge. This case is not a class action.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	N/A		

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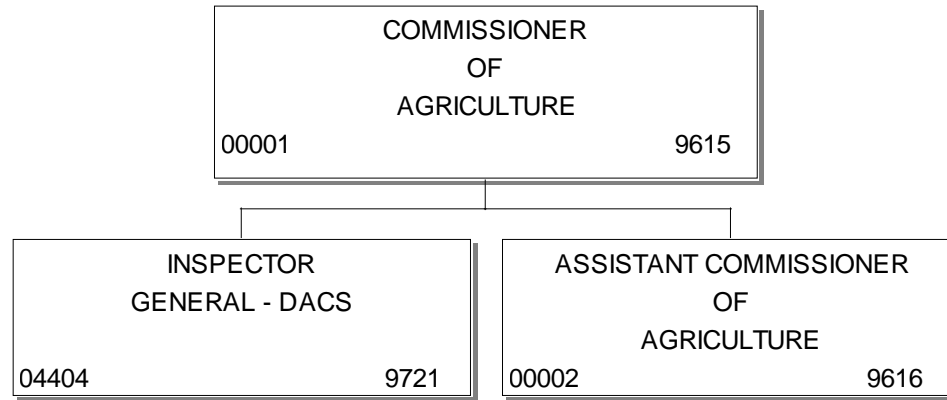
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<b>Agency:</b>	Florida Department of Agriculture and Consumer Services		
<b>Contact Person:</b>	Wesley R. Parsons	<b>Phone Number:</b>	305-347-3123
<b>Names of the Case: (If no case name, list the names of the plaintiff and defendant.)</b>	John & Shelby Mahon v. FDACS		
<b>Court with Jurisdiction:</b>	Lake County Circuit Court		
<b>Case Number:</b>	11 CA 3036A		
<b>Summary of the Complaint:</b>	Lawsuit for compensation for alleged destruction of nursery citrus.		
<b>Amount of the Claim:</b>	Several million dollars, plus interest, costs, and attorneys' fees.		
<b>Specific Statutes or Laws (including GAA) Challenged:</b>	Fla. Stat. § 581.1843.		
<b>Status of the Case:</b>	No trial is scheduled. This case is not a class action.		
<b>Who is representing (of record) the state in this lawsuit? Check all that apply.</b>	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
<b>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).</b>	N/A		



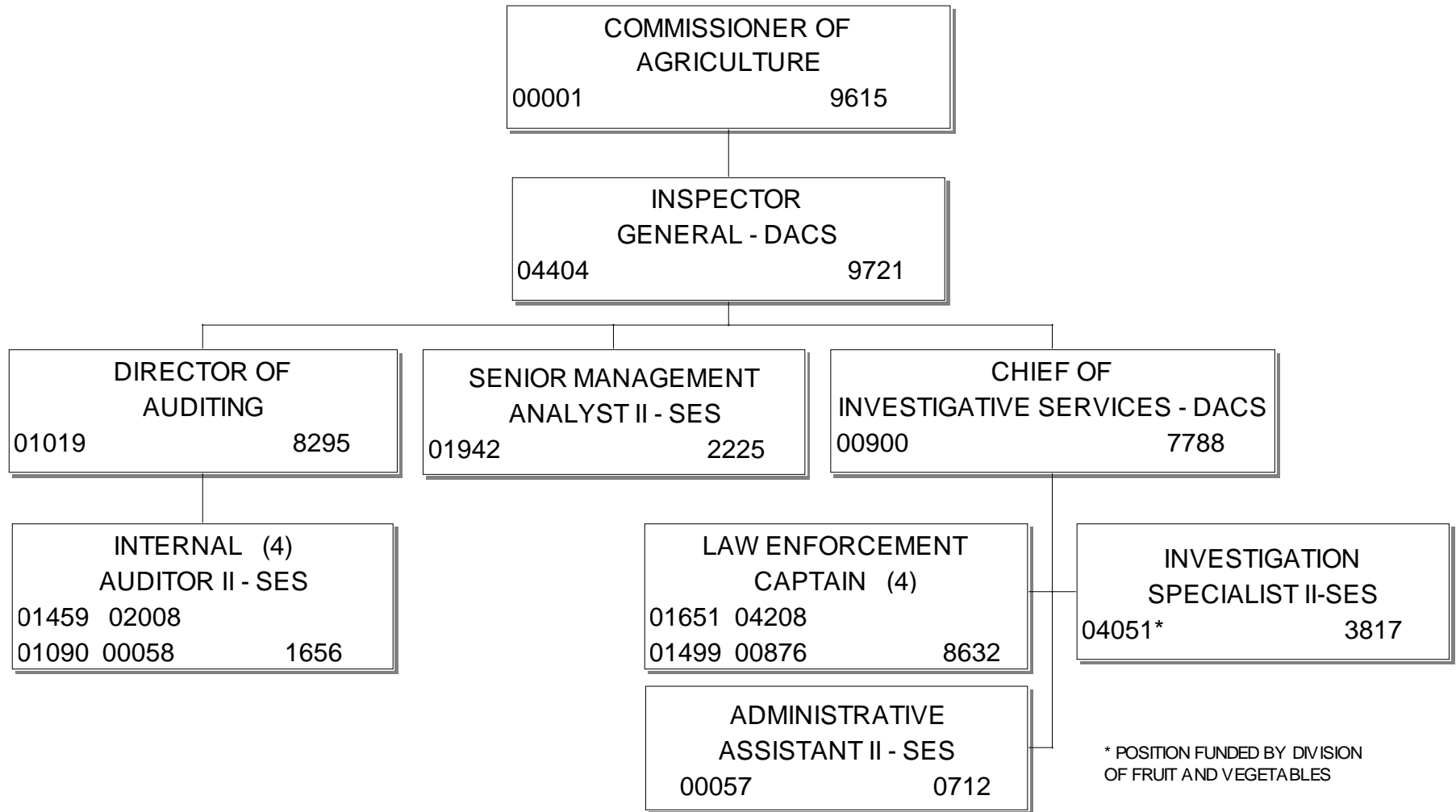
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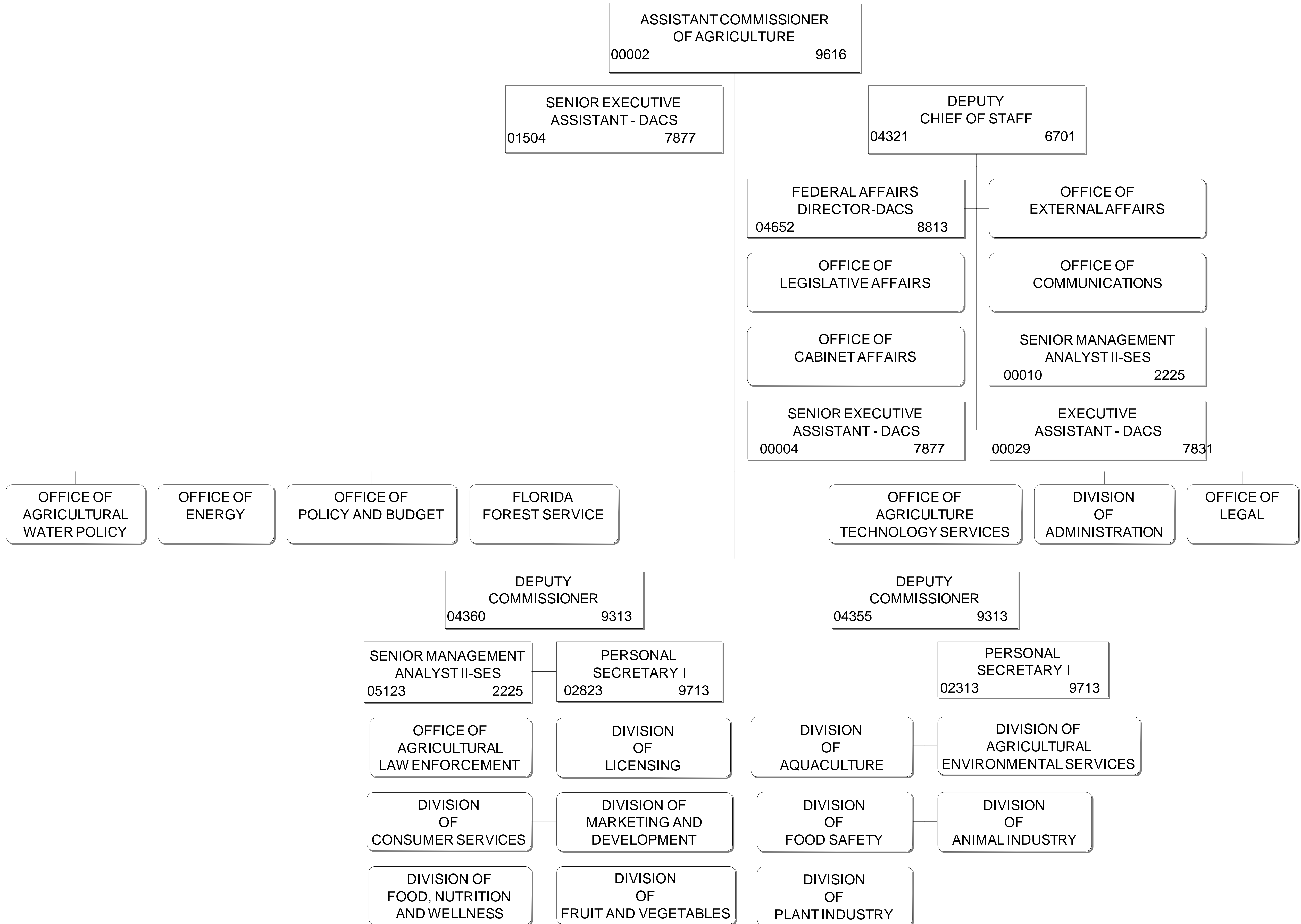
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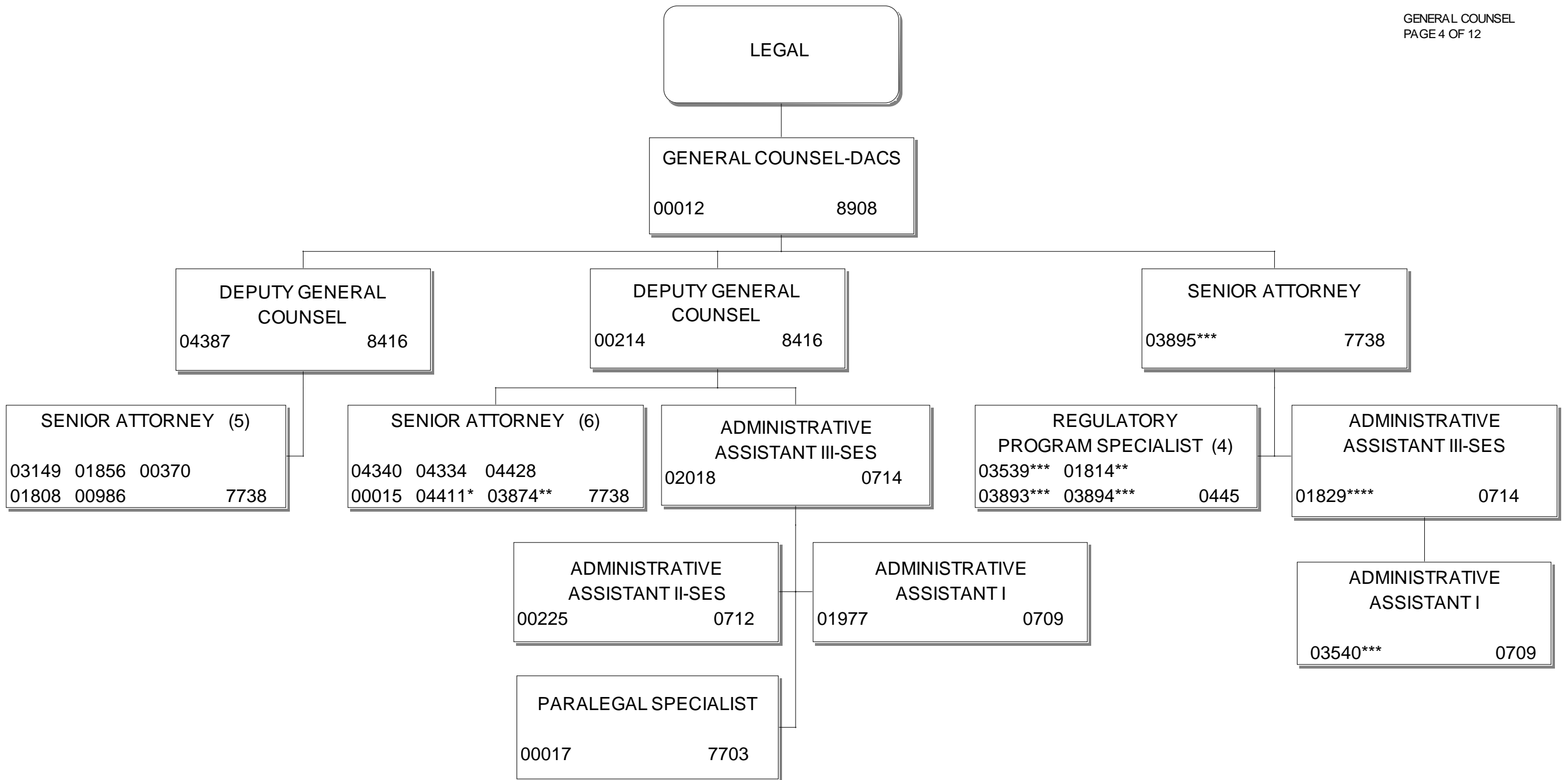
ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 1/6/2017

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AND CONSUMER SERVICES  
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**DEPARTMENT OF AGRICULTURE  
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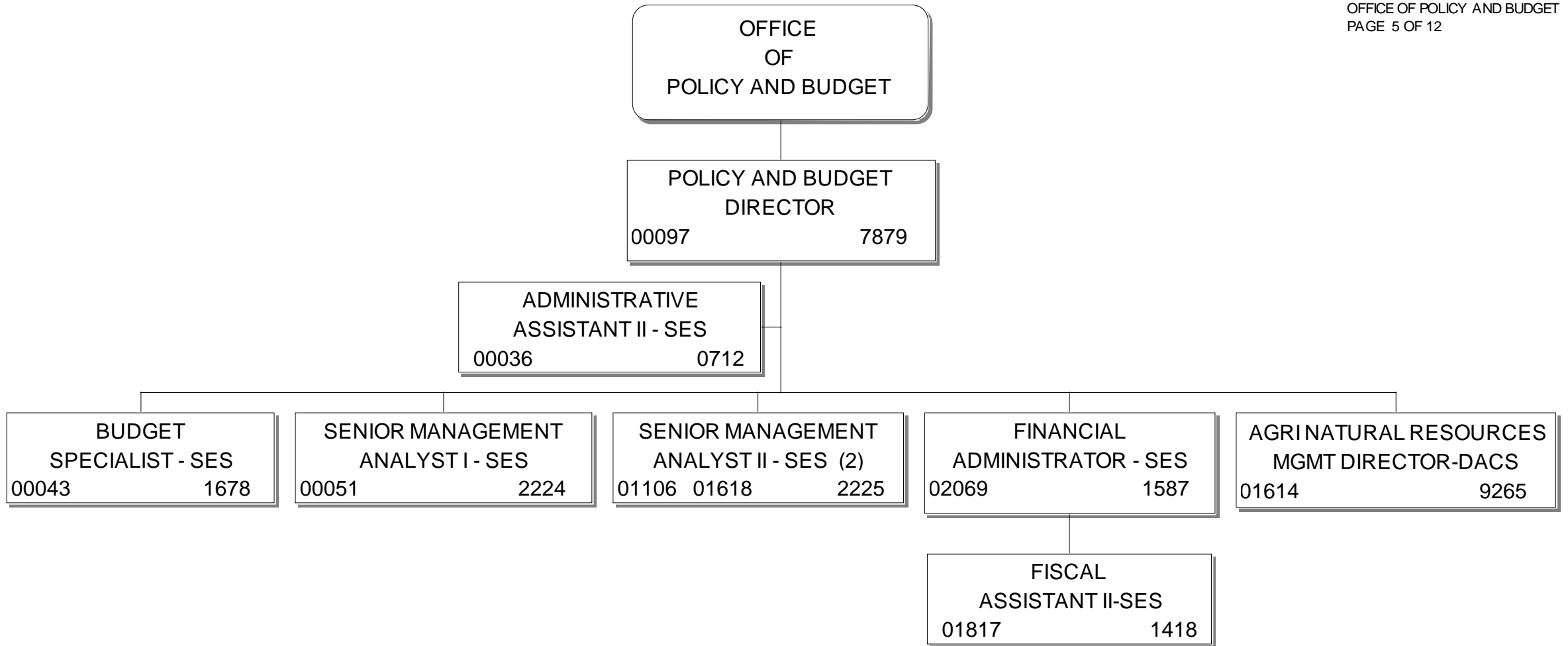
GENERAL COUNSEL  
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\* POSITION FUNDED BY AES  
 \*\* POSITION FUNDED BY CONSUMER SERVICES  
 \*\*\* POSITION FUNDED BY LICENSING  
 \*\*\*\* POSITION FUNDED BY ADMINISTRATION

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
COMMISSIONER'S OFFICE**

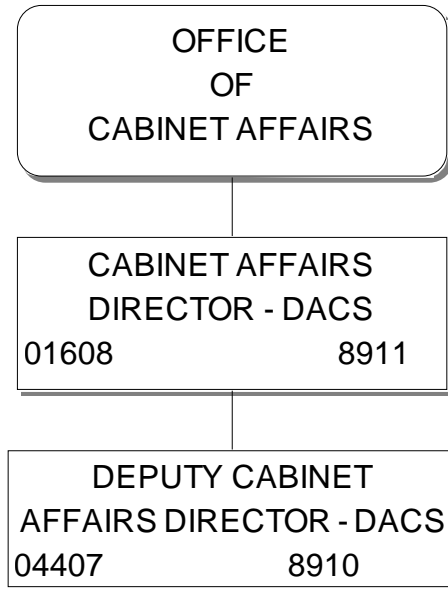
OFFICE OF POLICY AND BUDGET  
PAGE 5 OF 12



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGMENT  
DATE APPROVED: 7/31/2015

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AND CONSUMER SERVICES  
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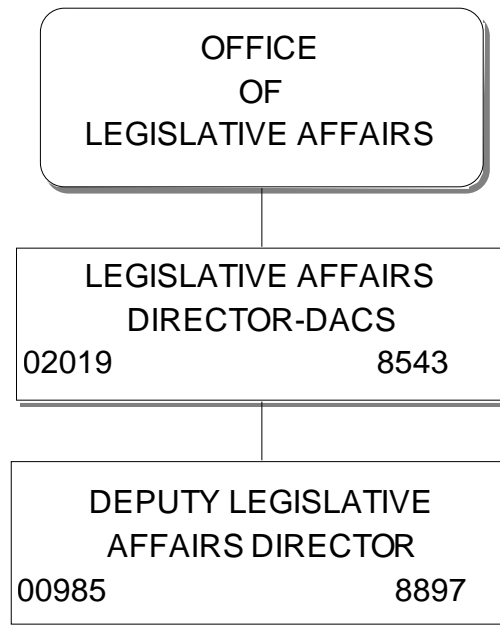
CABINET AFFAIRS  
PAGE 6 OF 12



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 7/1/2015

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AND CONSUMER SERVICES  
COMMISSIONER'S OFFICE**

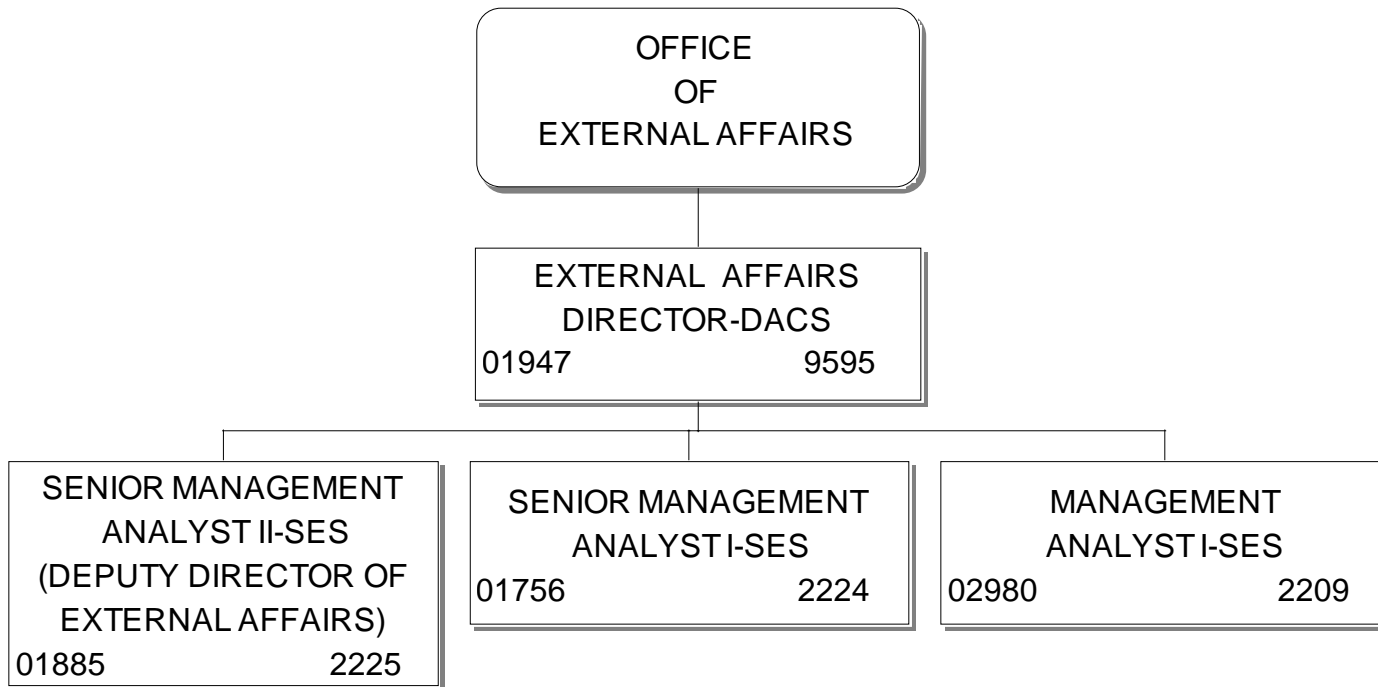
LEGISLATIVE AFFAIRS  
PAGE 7 OF 12



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 1/4/2011

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AND CONSUMER SERVICES  
COMMISSIONER'S OFFICE**

EXTERNAL AFFAIRS  
PAGE 8 OF 12

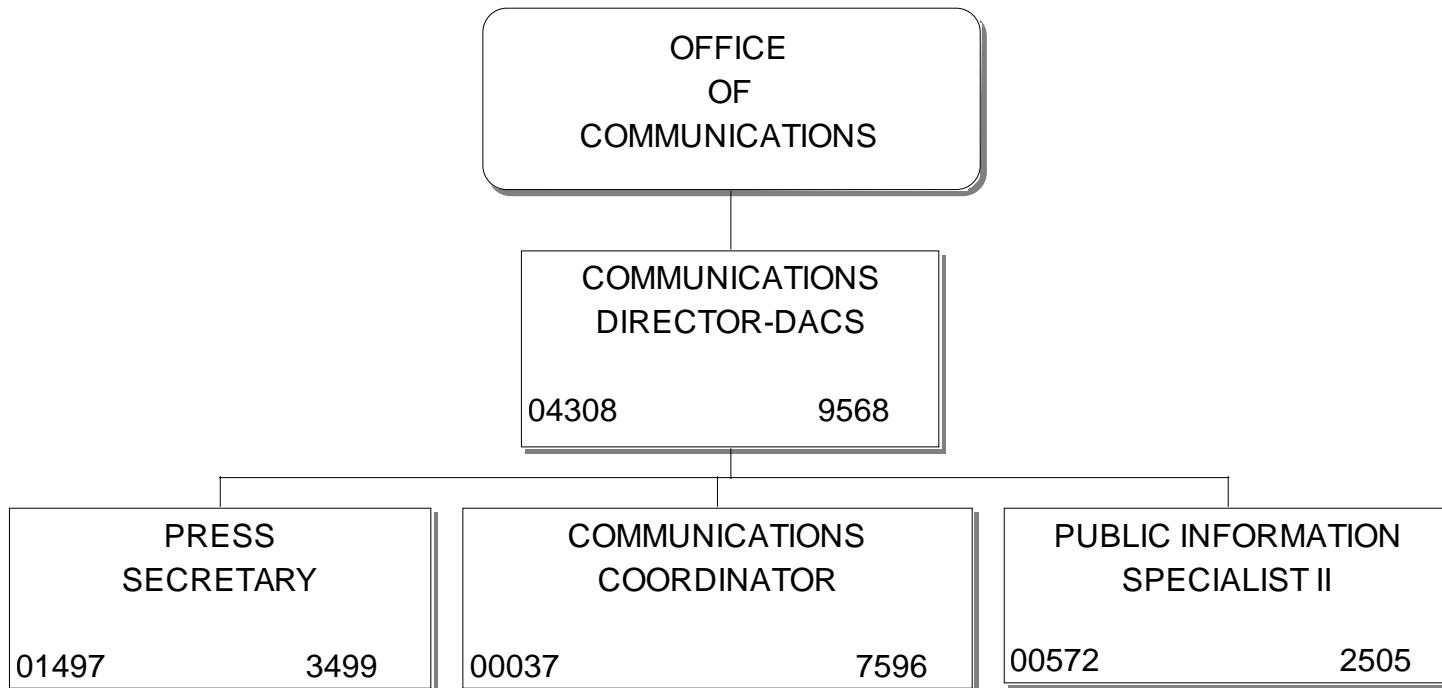


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 1/13/2017



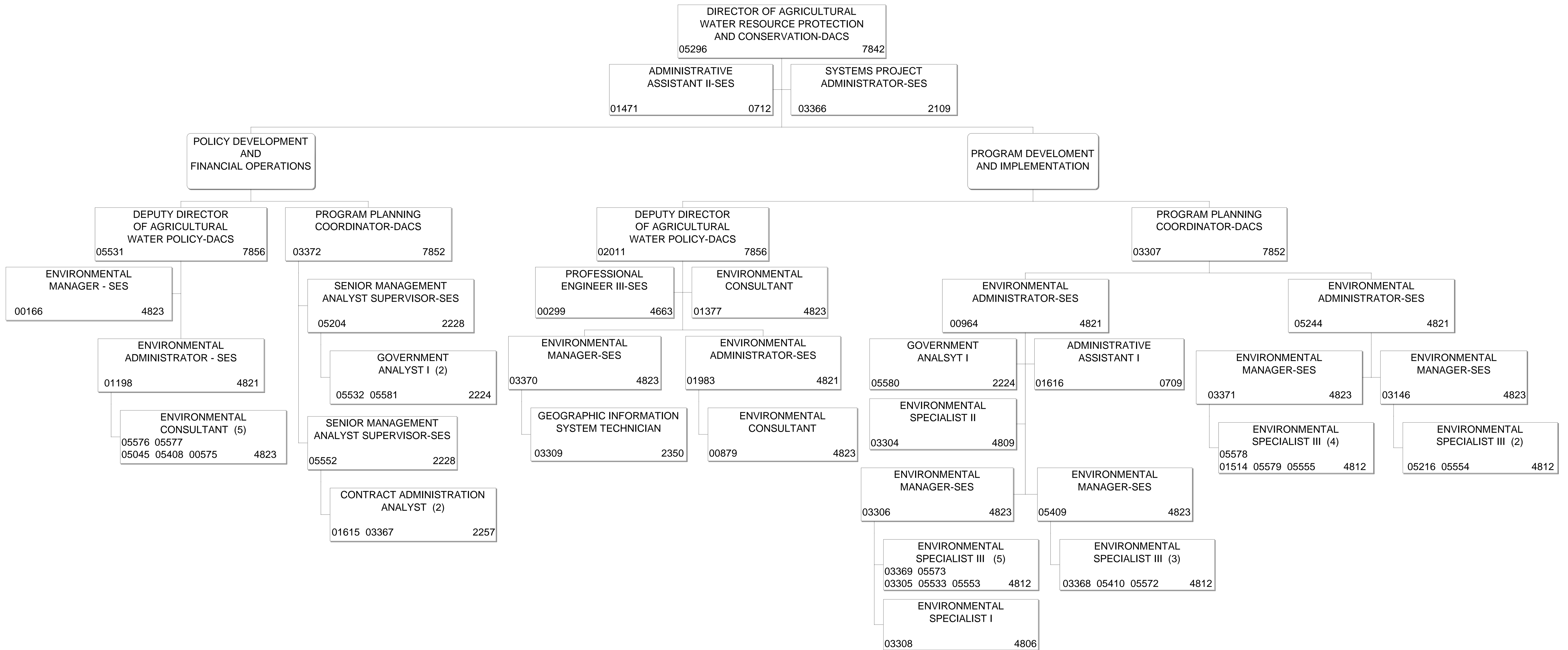
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AND CONSUMER SERVICES  
COMMISSIONER'S OFFICE**

COMMUNICATIONS  
PAGE 9 OF 12

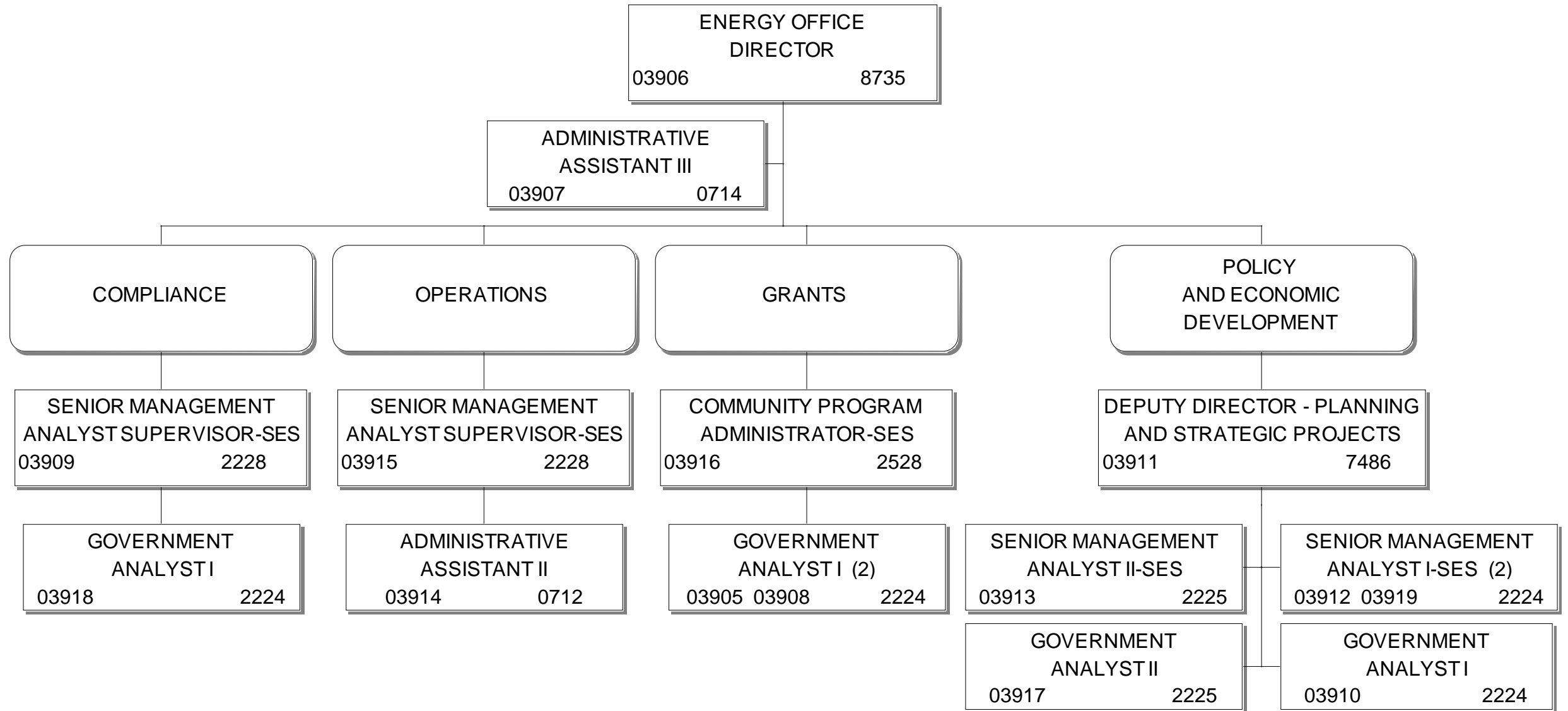


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
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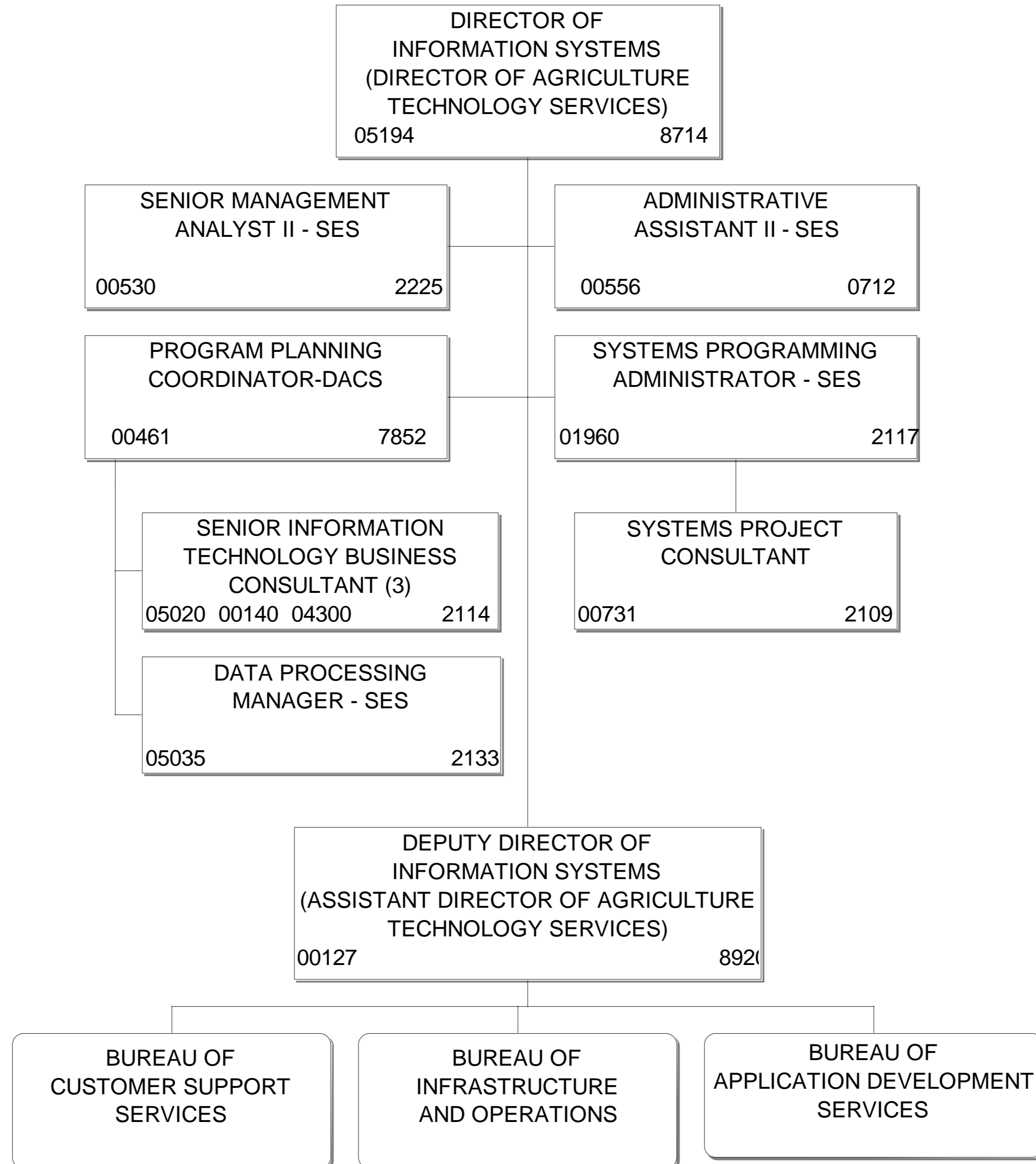
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AND CONSUMER SERVICES  
COMMISSIONER'S OFFICE**



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
COMMISSIONER'S OFFICE**



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
OFFICE OF AGRICULTURE TECHNOLOGY SERVICES**

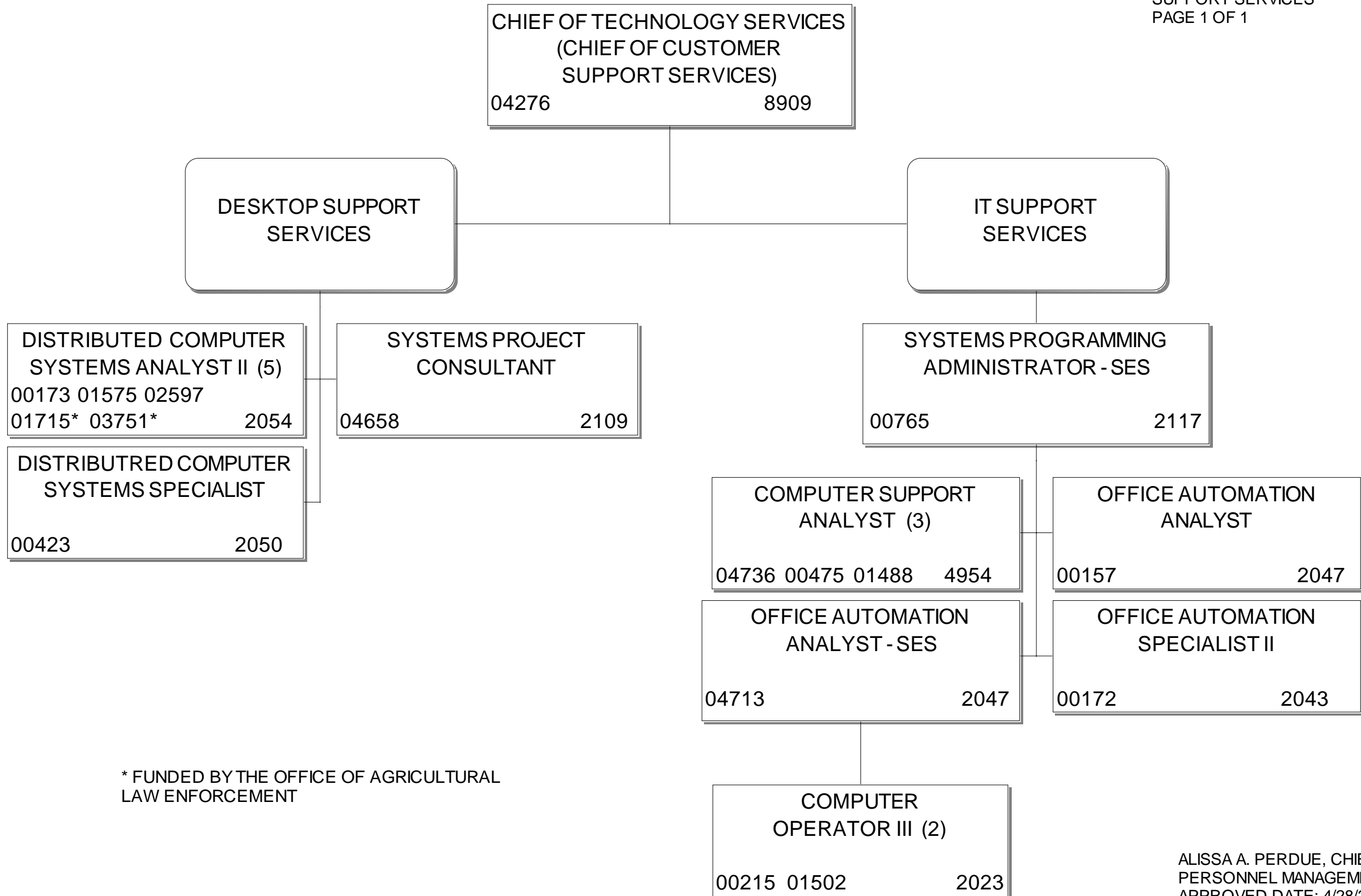


DIRECTOR'S OFFICE  
PAGE 1 OF 1

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 7/1/2016

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
OFFICE OF AGRICULTURE TECHNOLOGY SERVICES**

BUREAU OF CUSTOMER  
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PAGE 1 OF 1

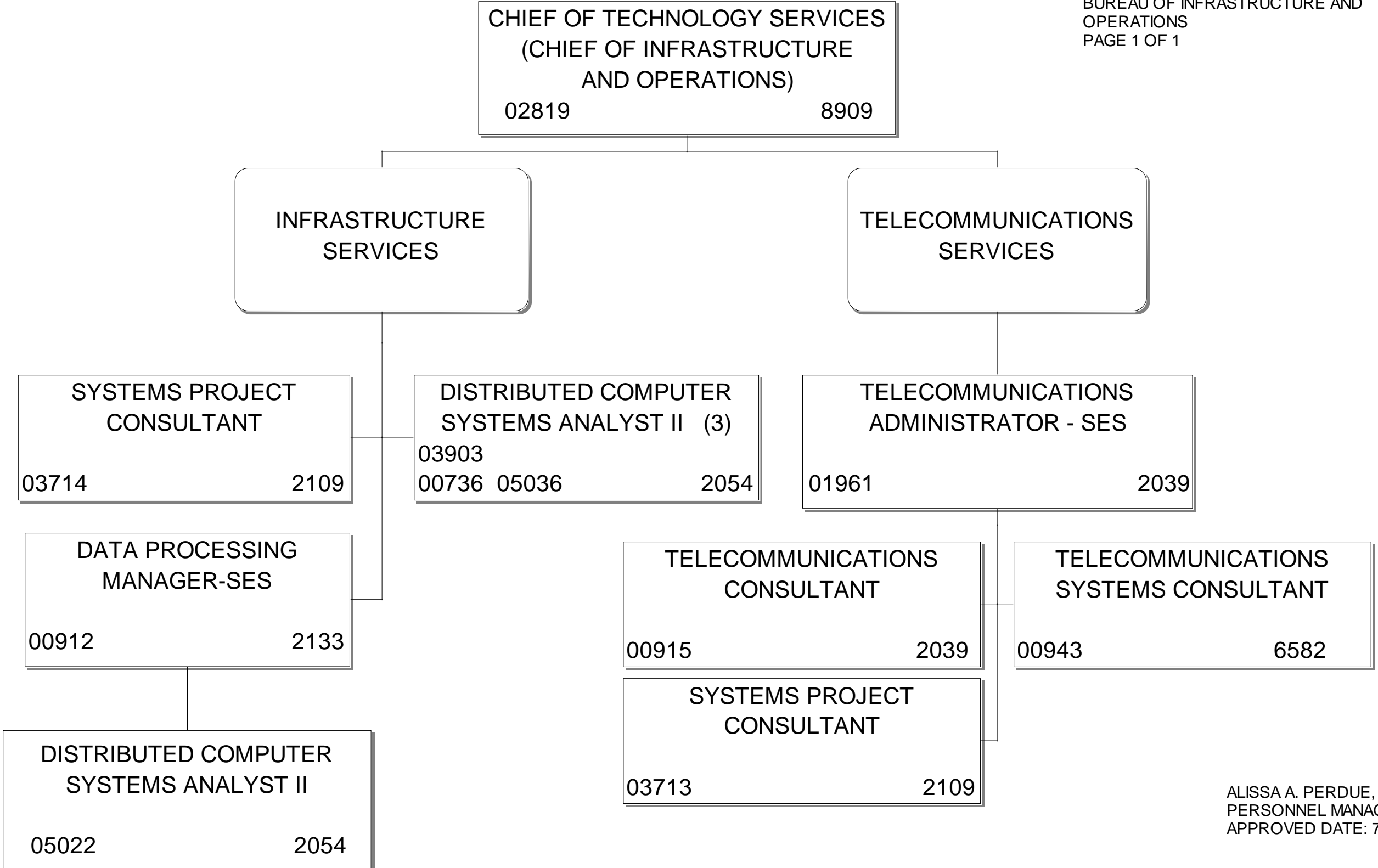


\* FUNDED BY THE OFFICE OF AGRICULTURAL  
LAW ENFORCEMENT

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 4/28/2017

**DEPARTMENT OF AGRICULTURE  
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OFFICE OF AGRICULTURE TECHNOLOGY SERVICES**

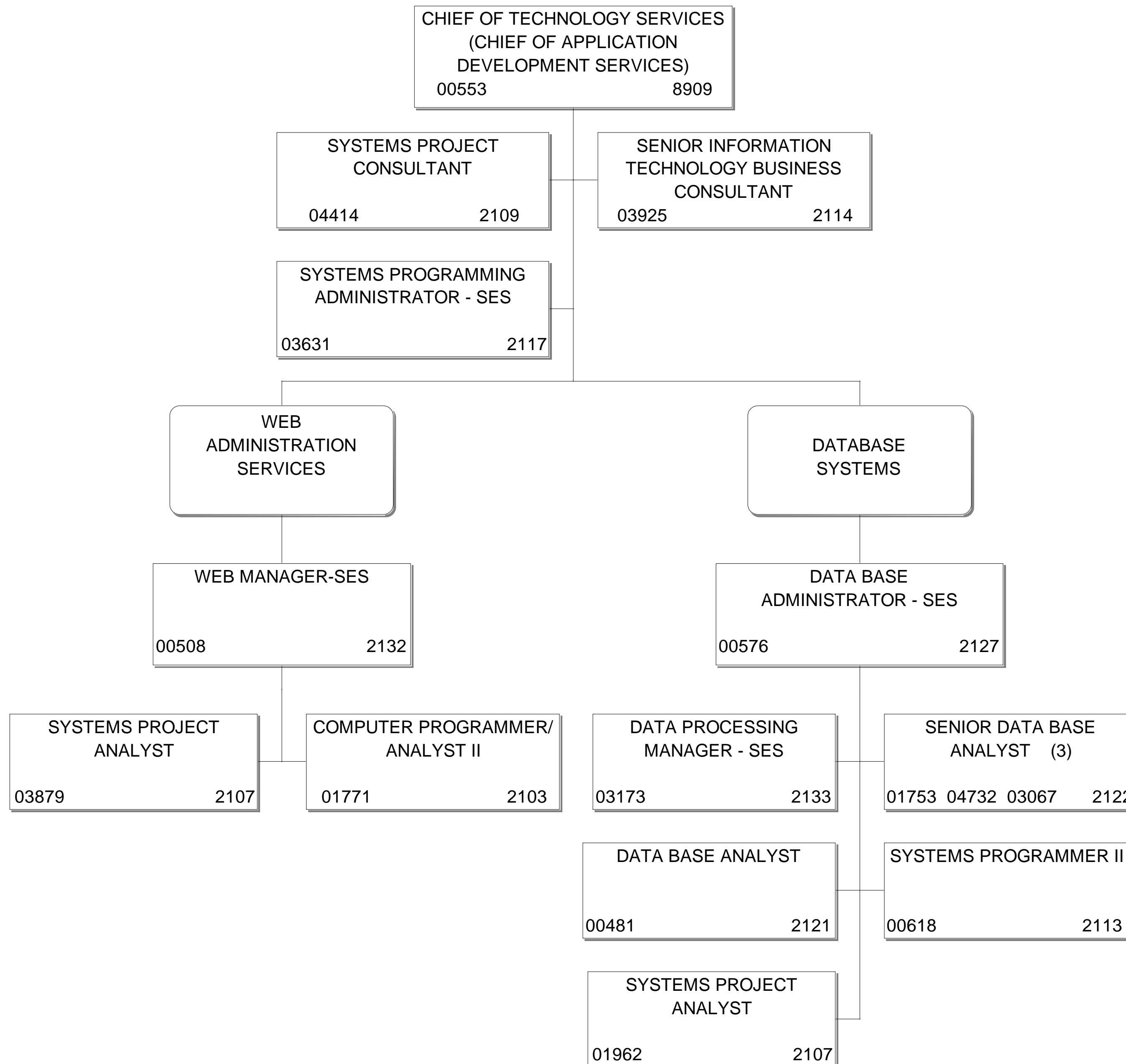
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PAGE 1 OF 1



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 7/1/2016

**DEPARTMENT OF AGRICULTURE  
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OFFICE OF AGRICULTURE TECHNOLOGY SERVICES**

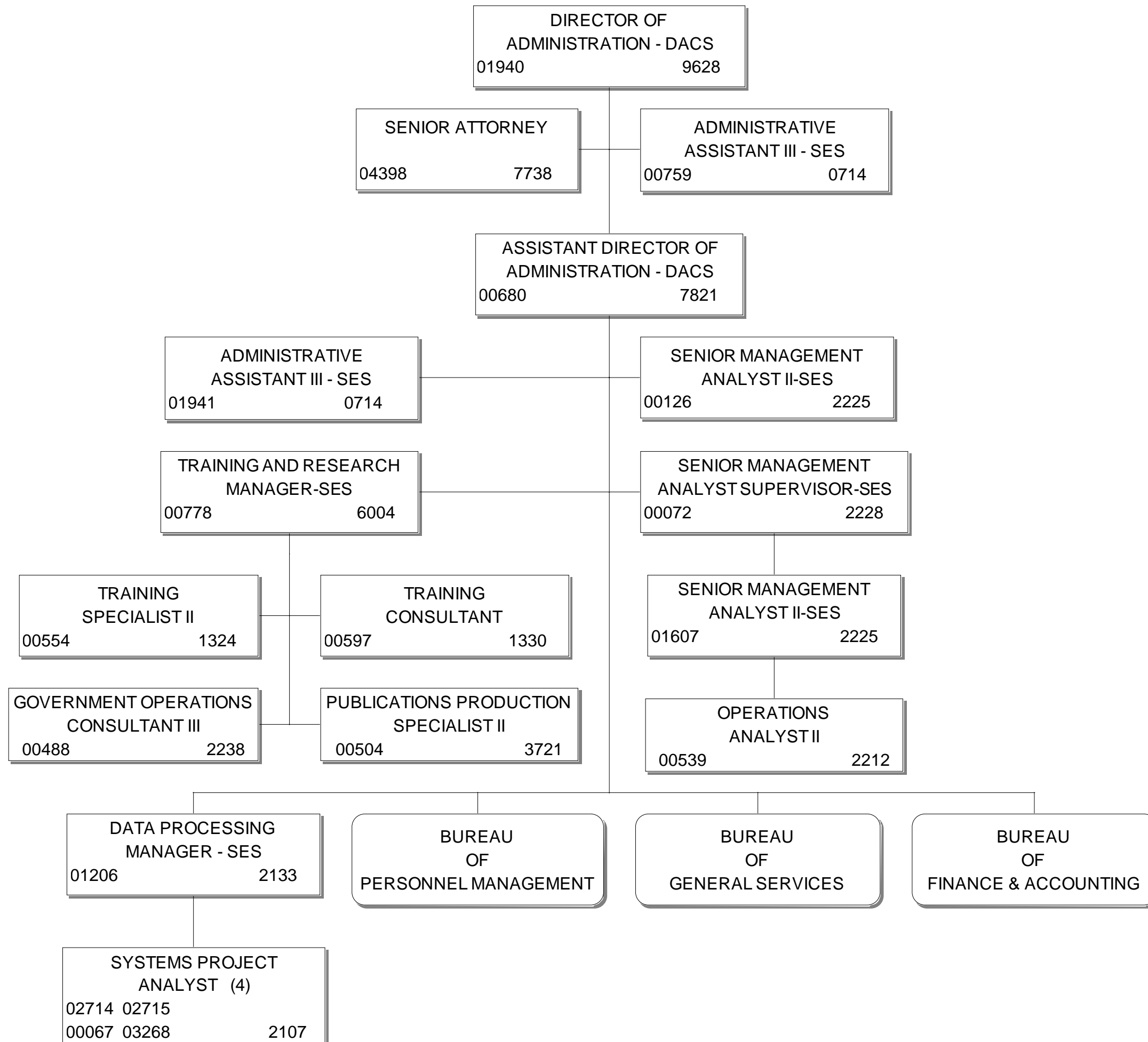
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PAGE 1 OF 1



ALISSA A. PERDUE, CHIEF OF PERSONNEL MANAGEMENT  
APPROVED DATE: 7/1/2016

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DIVISION OF ADMINISTRATION**

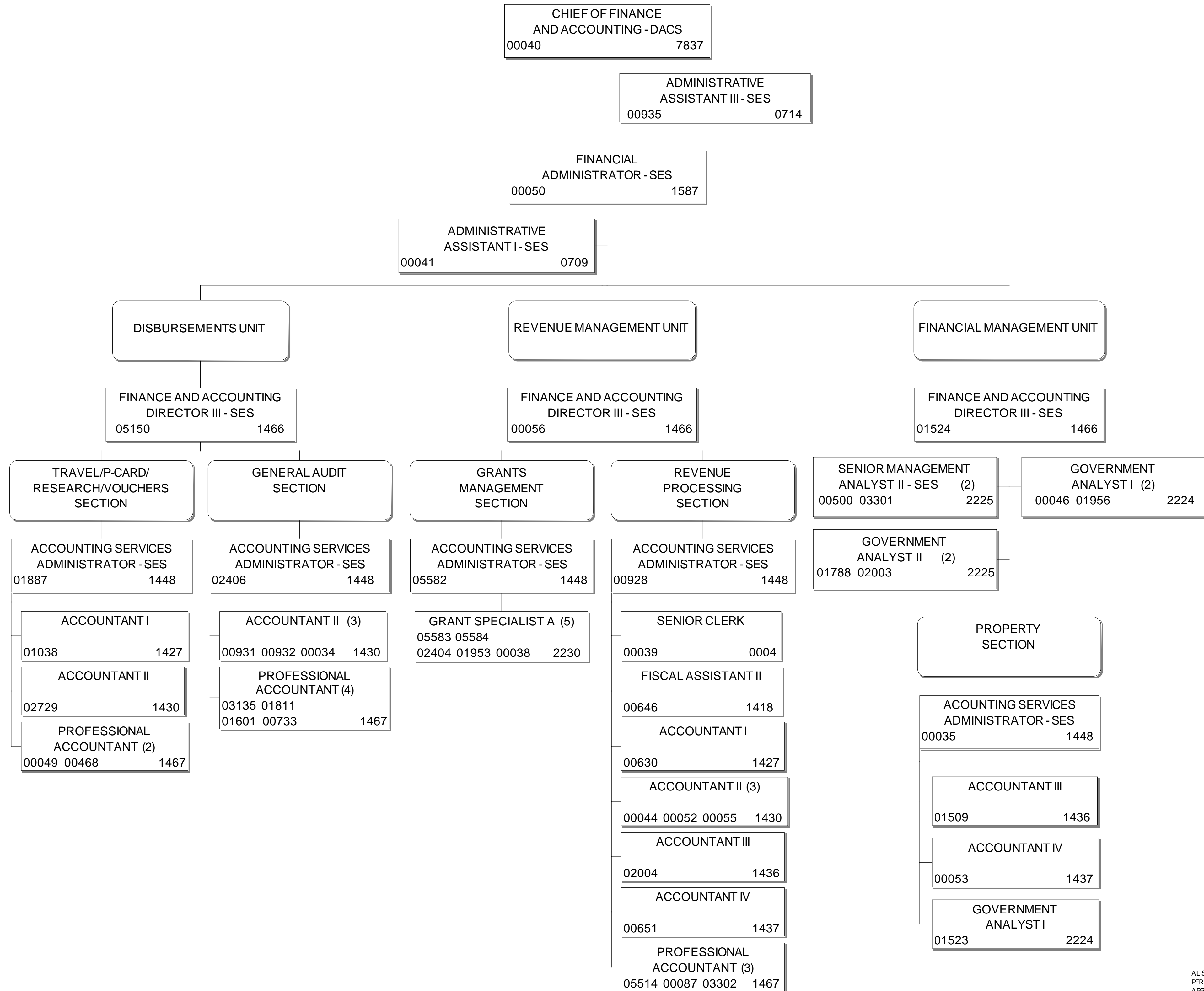
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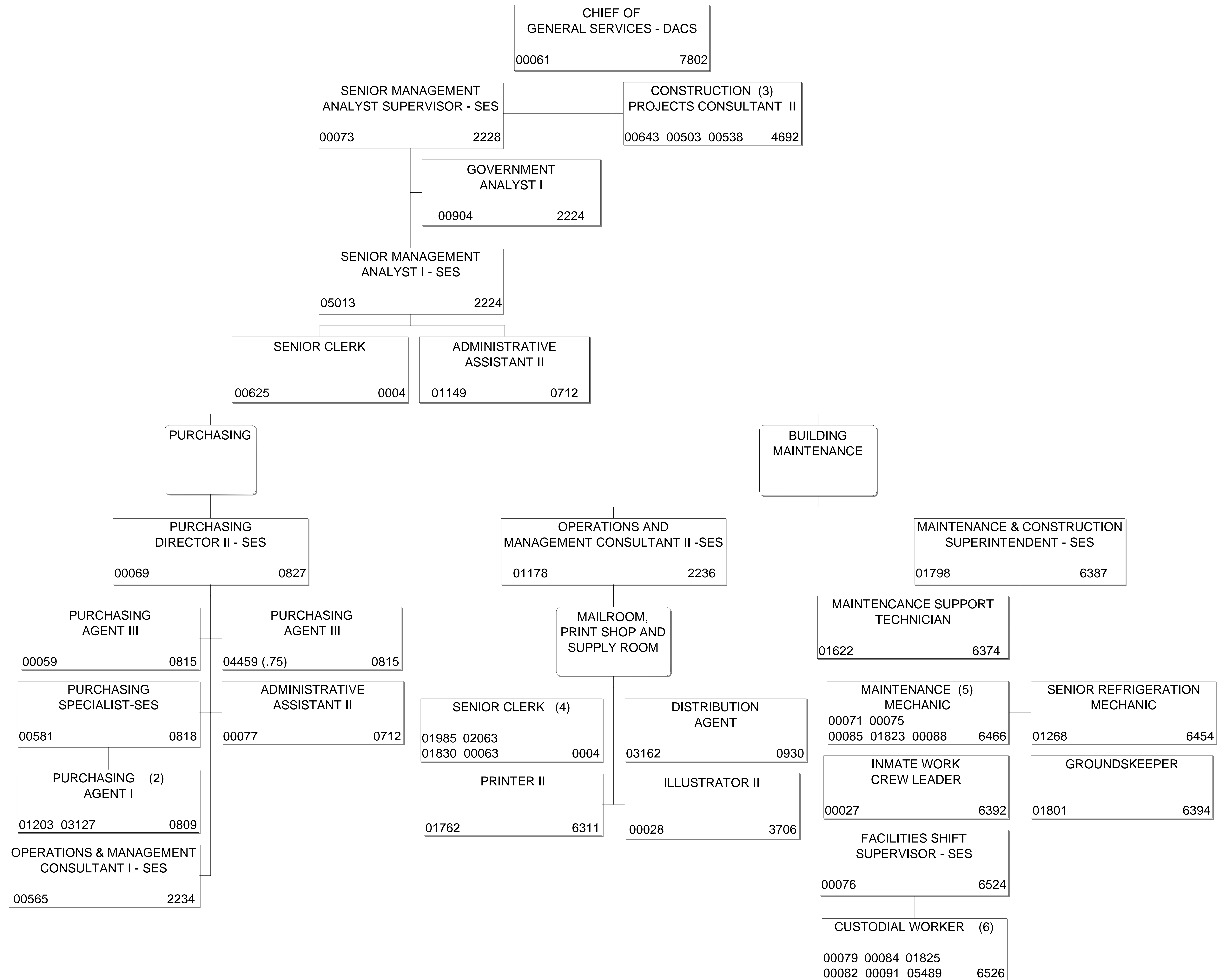
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PERSONNEL MANAGEMENT  
APPROVED DATE: 3/6/2017



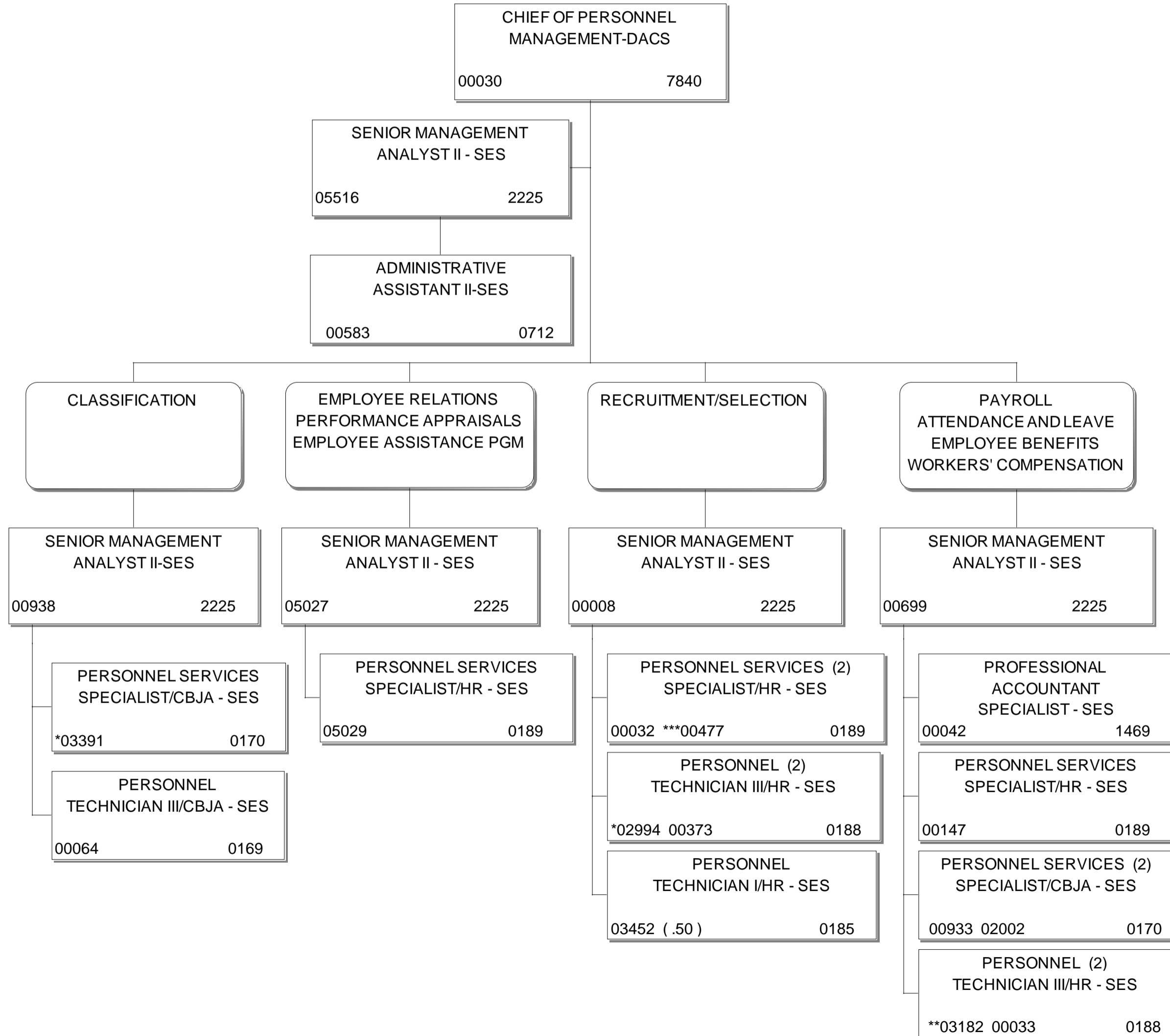
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AND CONSUMER SERVICES  
DIVISION OF ADMINISTRATION**



**DEPARTMENT OF AGRICULTURE  
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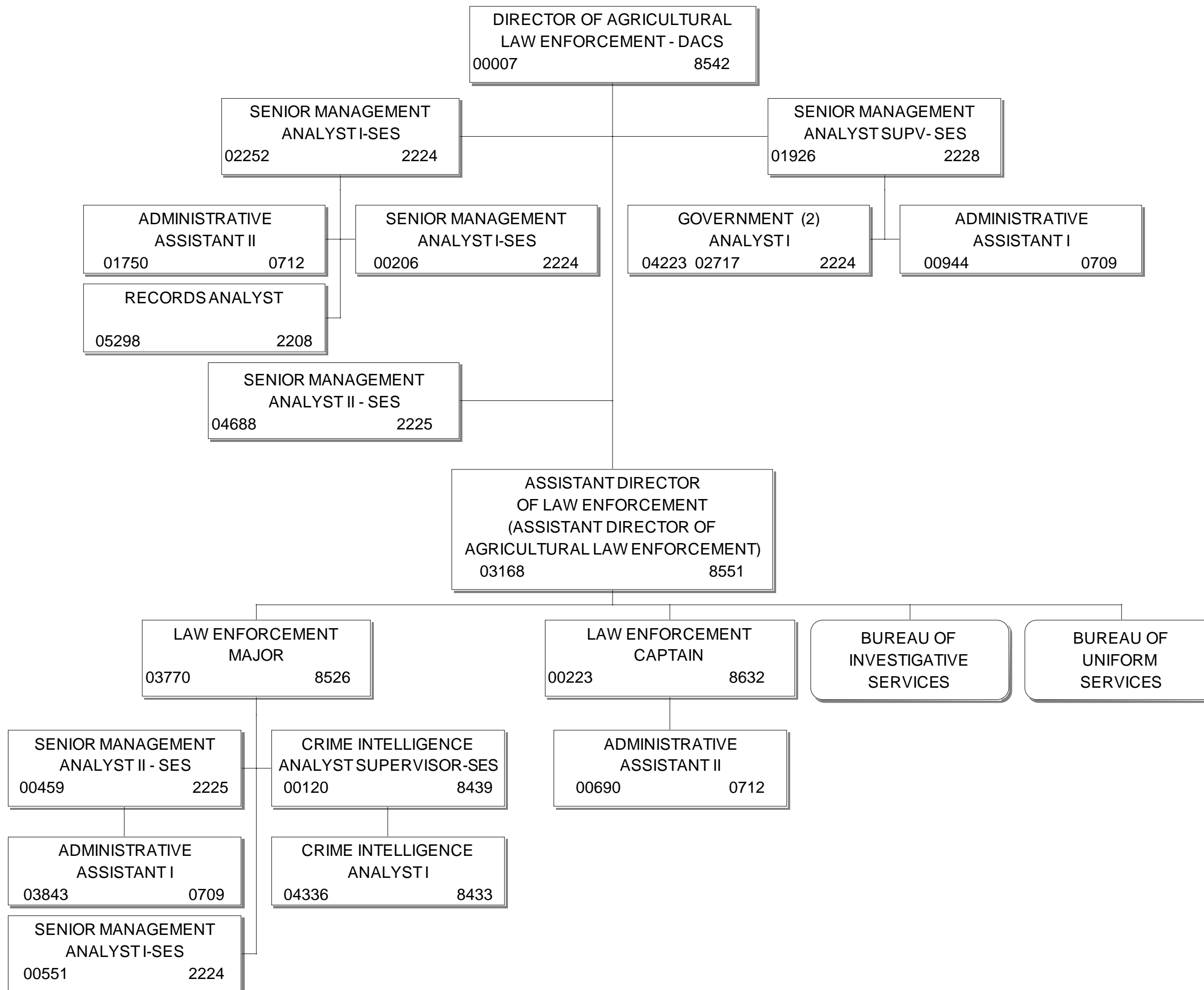
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DIVISION OF ADMINISTRATION**



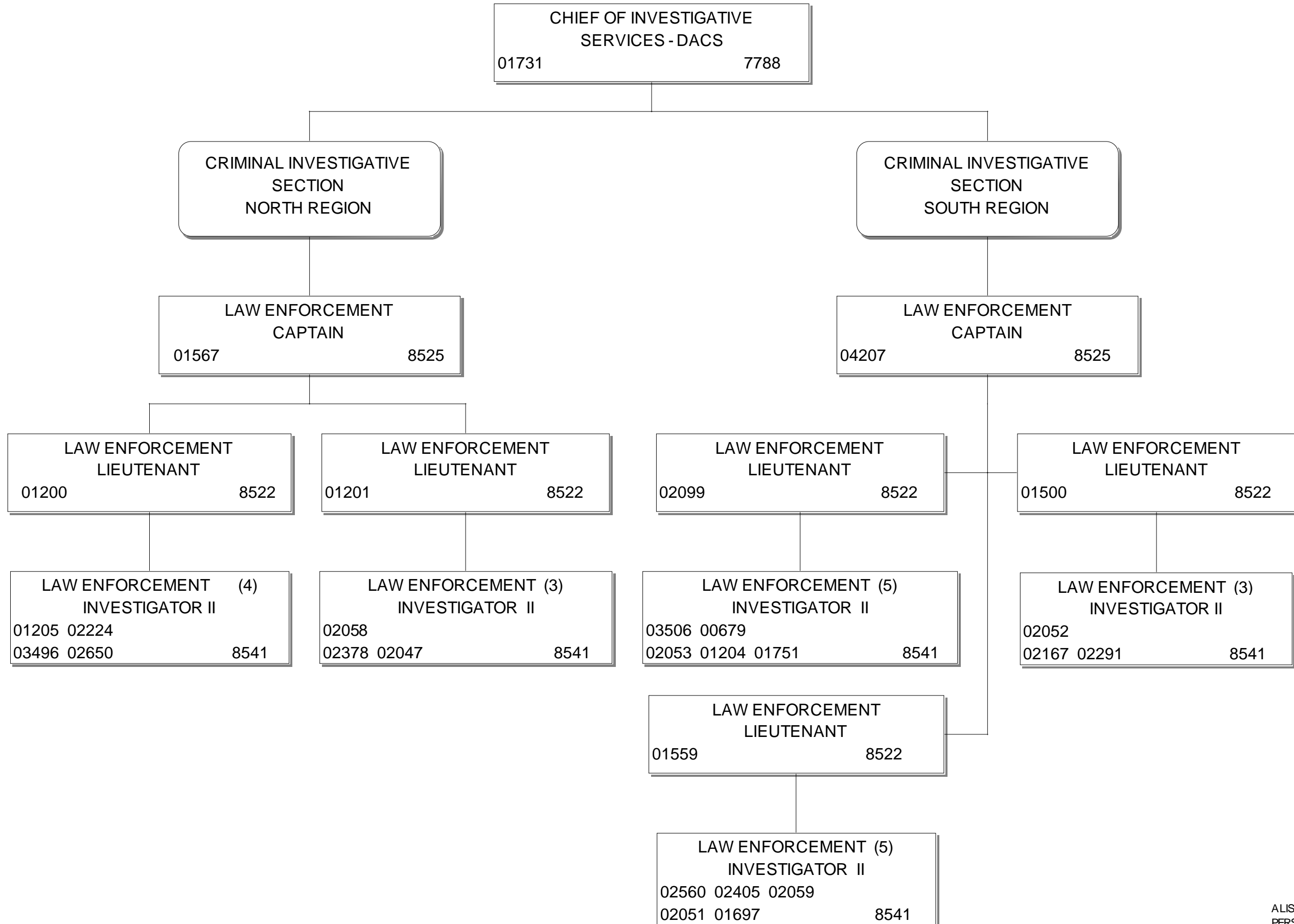
\*Funded from Florida Forest Service  
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OFFICE OF AGRICULTURAL  
LAW ENFORCEMENT**

DIVISION FTE: 282  
DIRECTOR'S OFFICE  
PAGE 1 OF 1

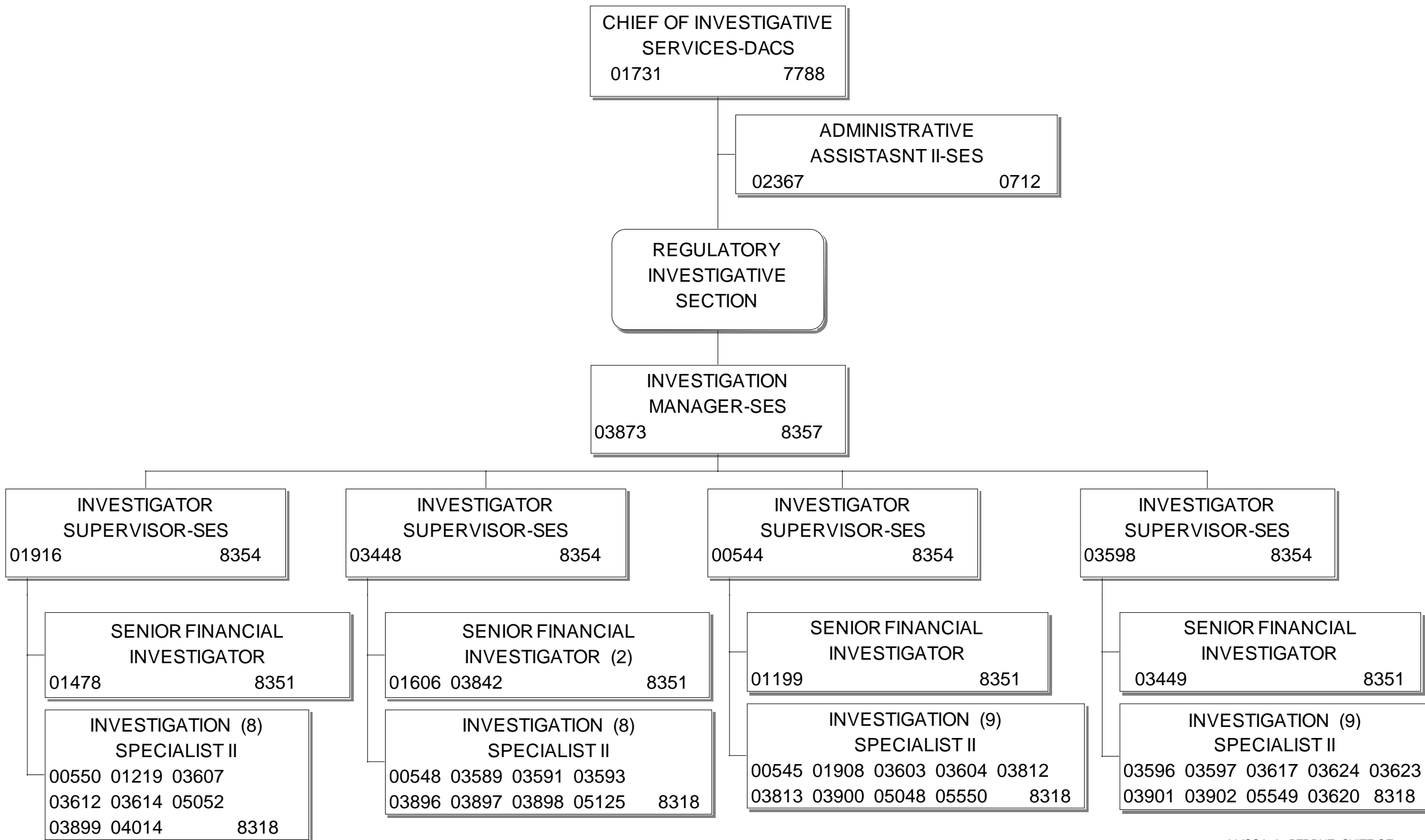


**DEPARTMENT OF AGRICULTURE  
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OFFICE OF AGRICULTURAL  
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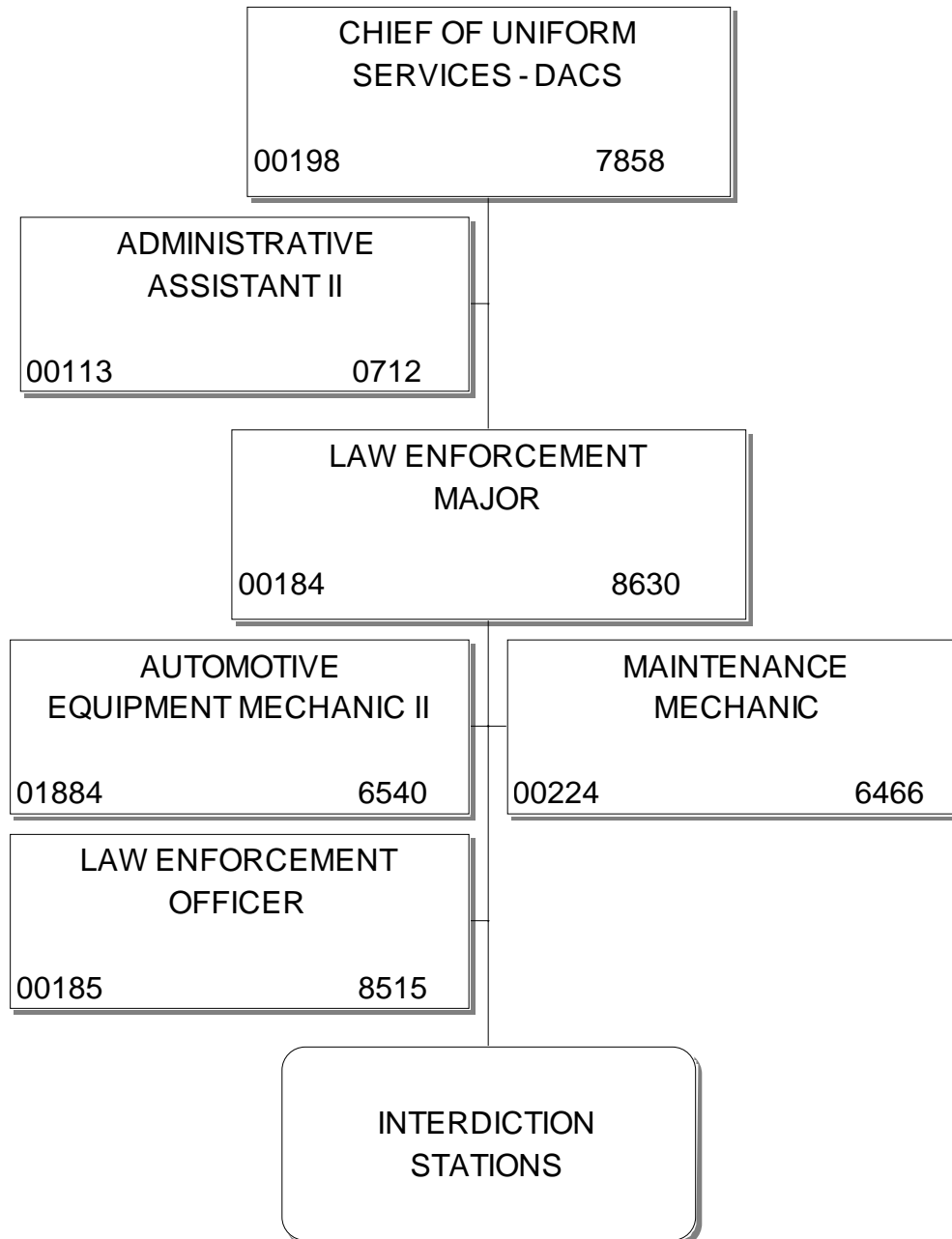
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PAGE 2 OF 2



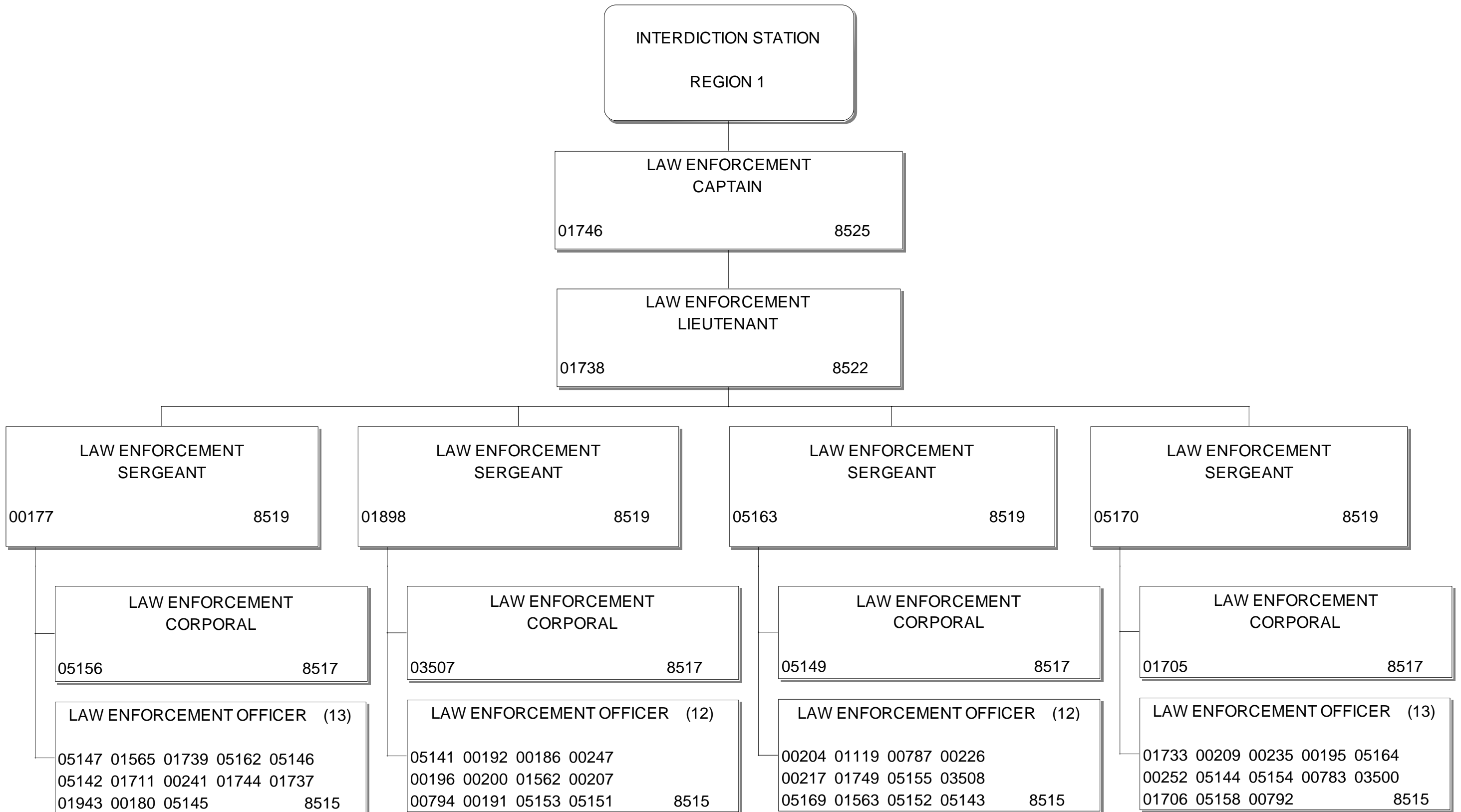
**DEPARTMENT OF AGRICULTURE  
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OFFICE OF AGRICULTURAL  
LAW ENFORCEMENT**

BUREAU OF UNIFORM SERVICES  
PAGE 1 OF 5



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
OFFICE OF AGRICULTURAL  
LAW ENFORCEMENT**

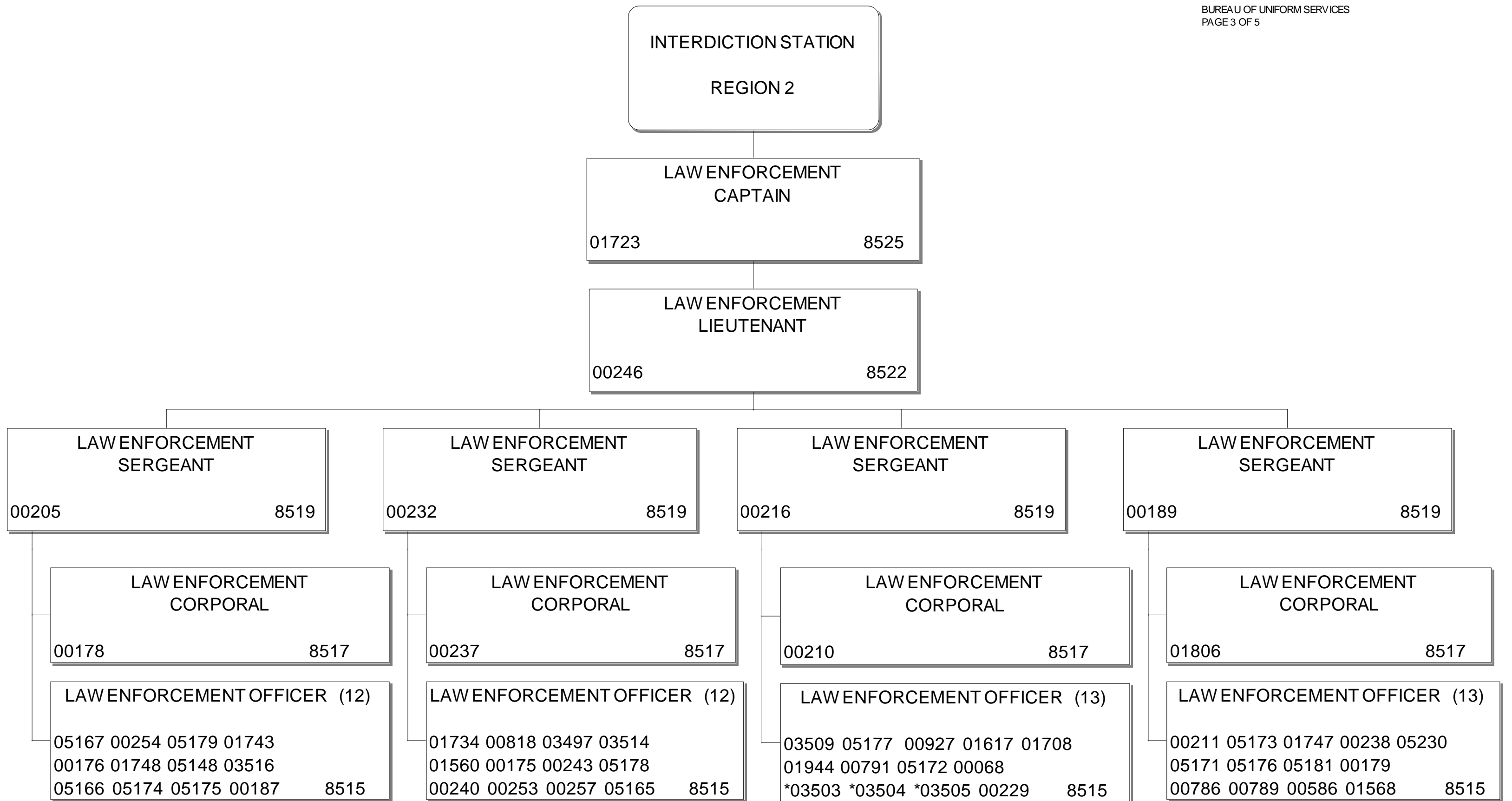
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**DEPARTMENT OF AGRICULTURE  
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OFFICE OF AGRICULTURAL  
LAW ENFORCEMENT**

BUREAU OF UNIFORM SERVICES  
PAGE 3 OF 5

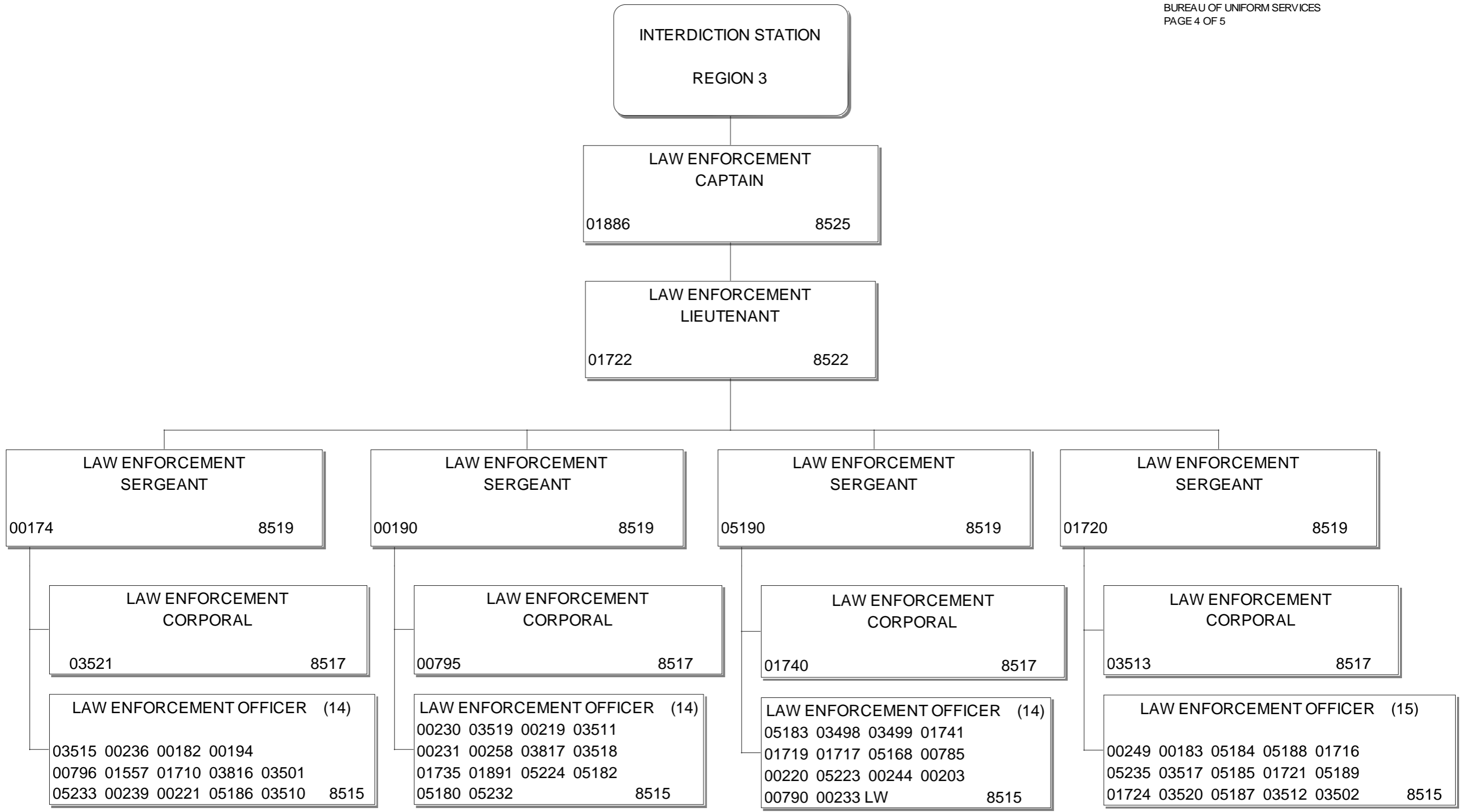


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ALISSA A. PERDUE, CHIEF OF  
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APPROVED DATE: 10/25/2013

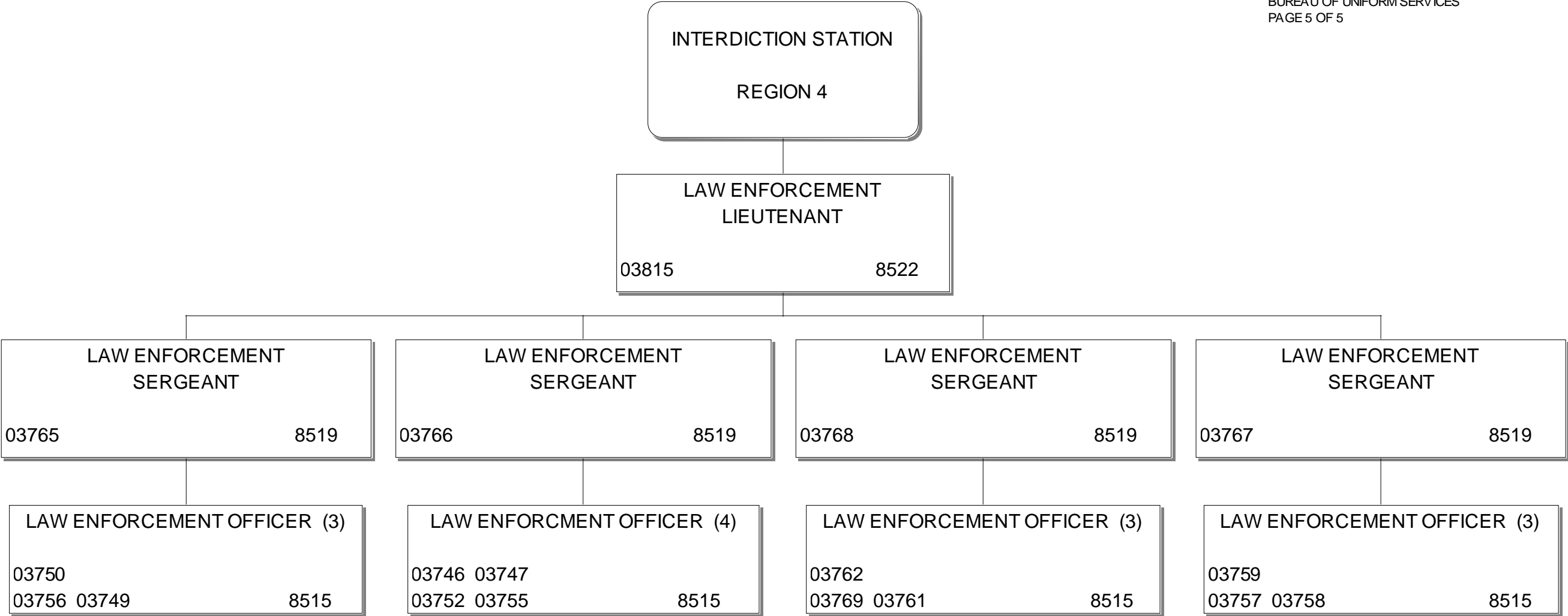
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BUREAU OF UNIFORM SERVICES  
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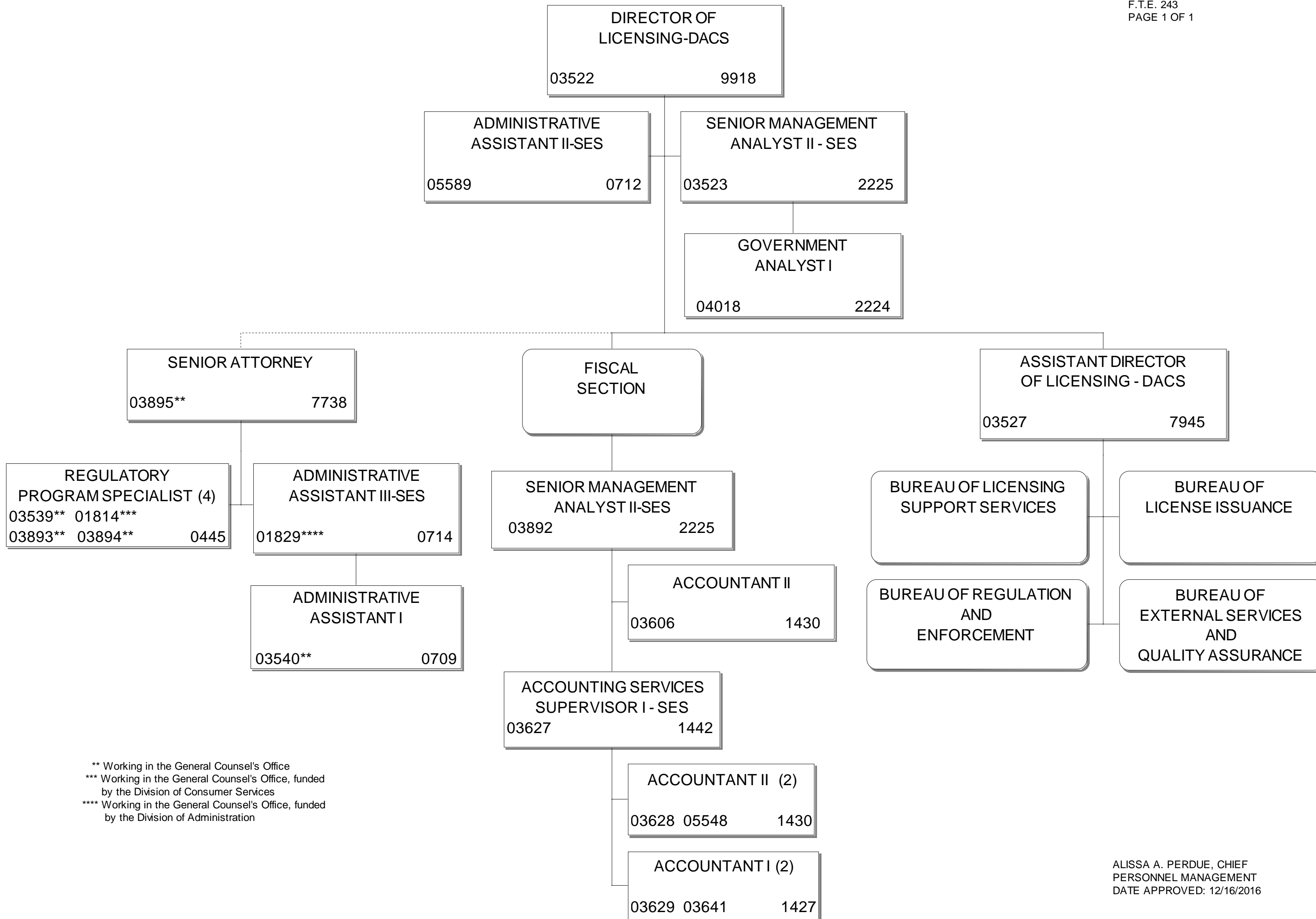
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BUREAU OF UNIFORM SERVICES  
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**DEPARTMENT OF AGRICULTURE  
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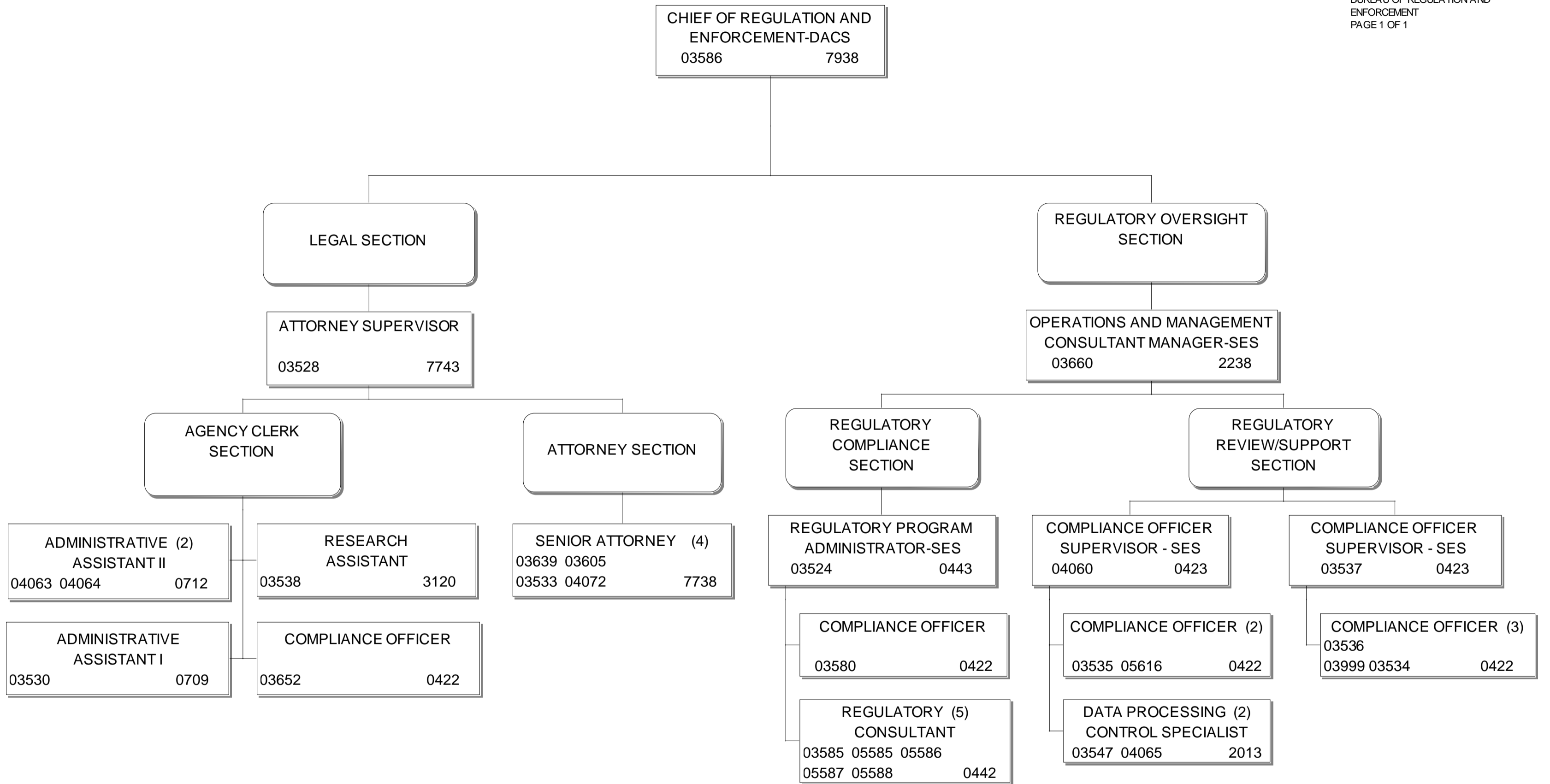
DIRECTOR'S OFFICE  
F.T.E. 243  
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\*\* Working in the General Counsel's Office  
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\*\*\*\* Working in the General Counsel's Office, funded by the Division of Administration

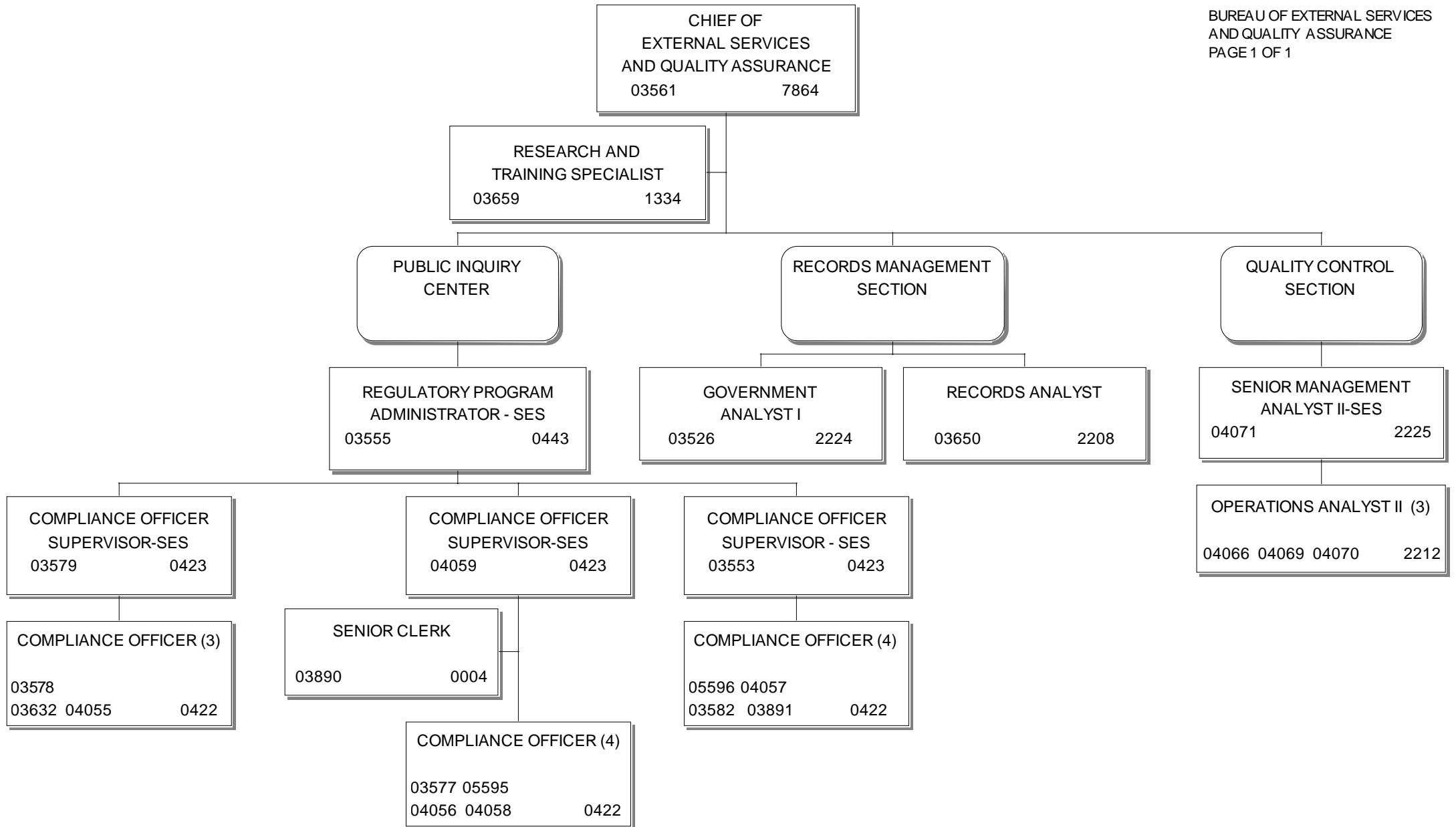
ALISSA A. PERDUE, CHIEF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 12/16/2016

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DIVISION OF LICENSING**



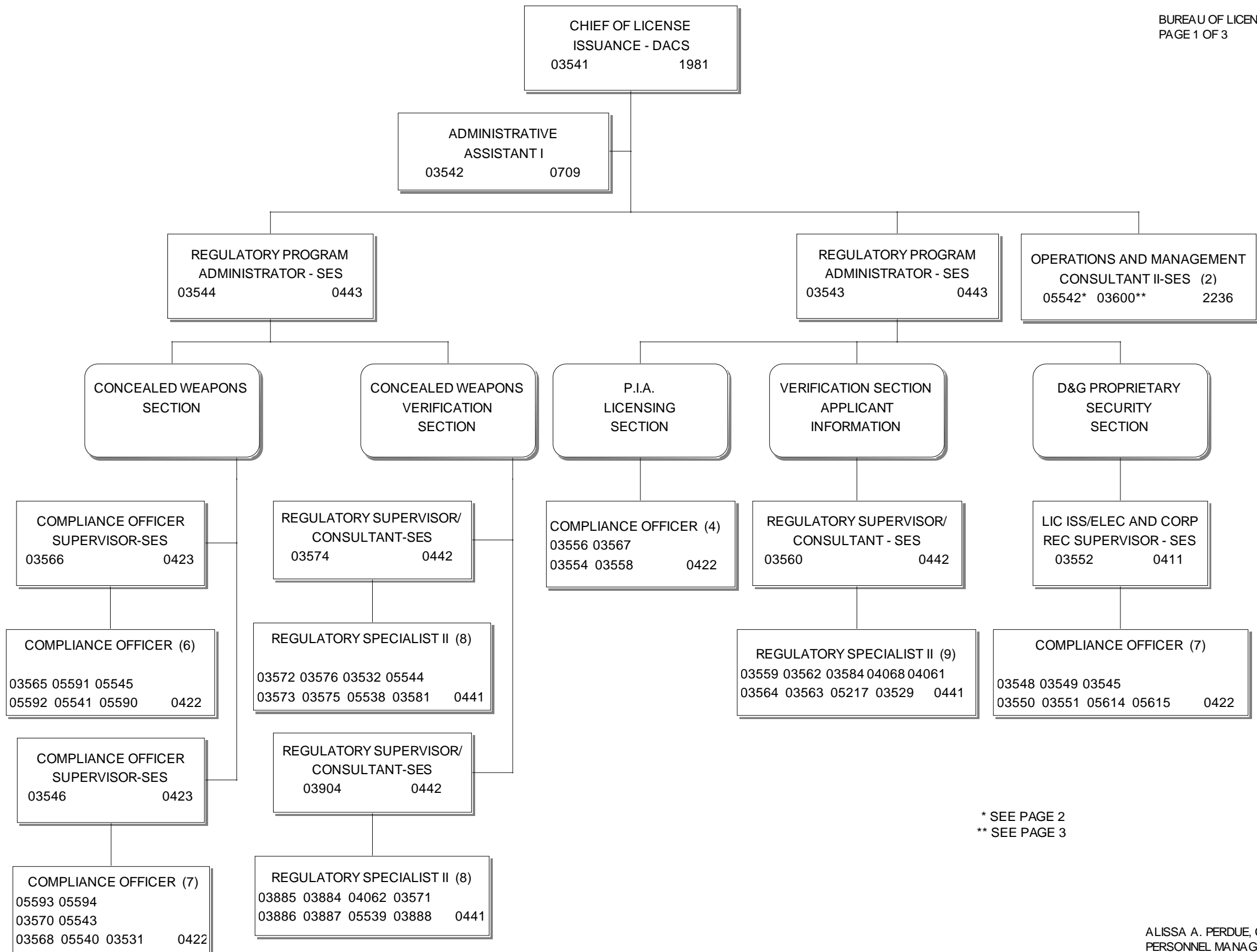
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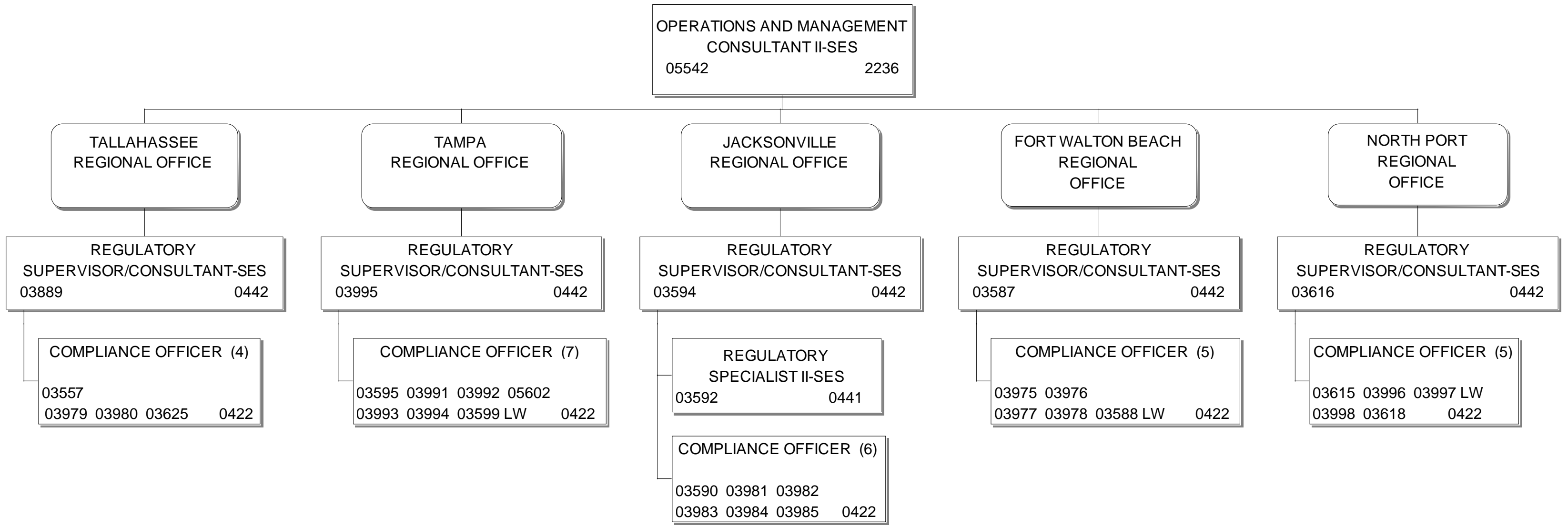
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AND CONSUMER SERVICES  
DIVISION OF LICENSING**

BUREAU OF LICENSE ISSUANCE  
PAGE 1 OF 3



\* SEE PAGE 2  
\*\* SEE PAGE 3

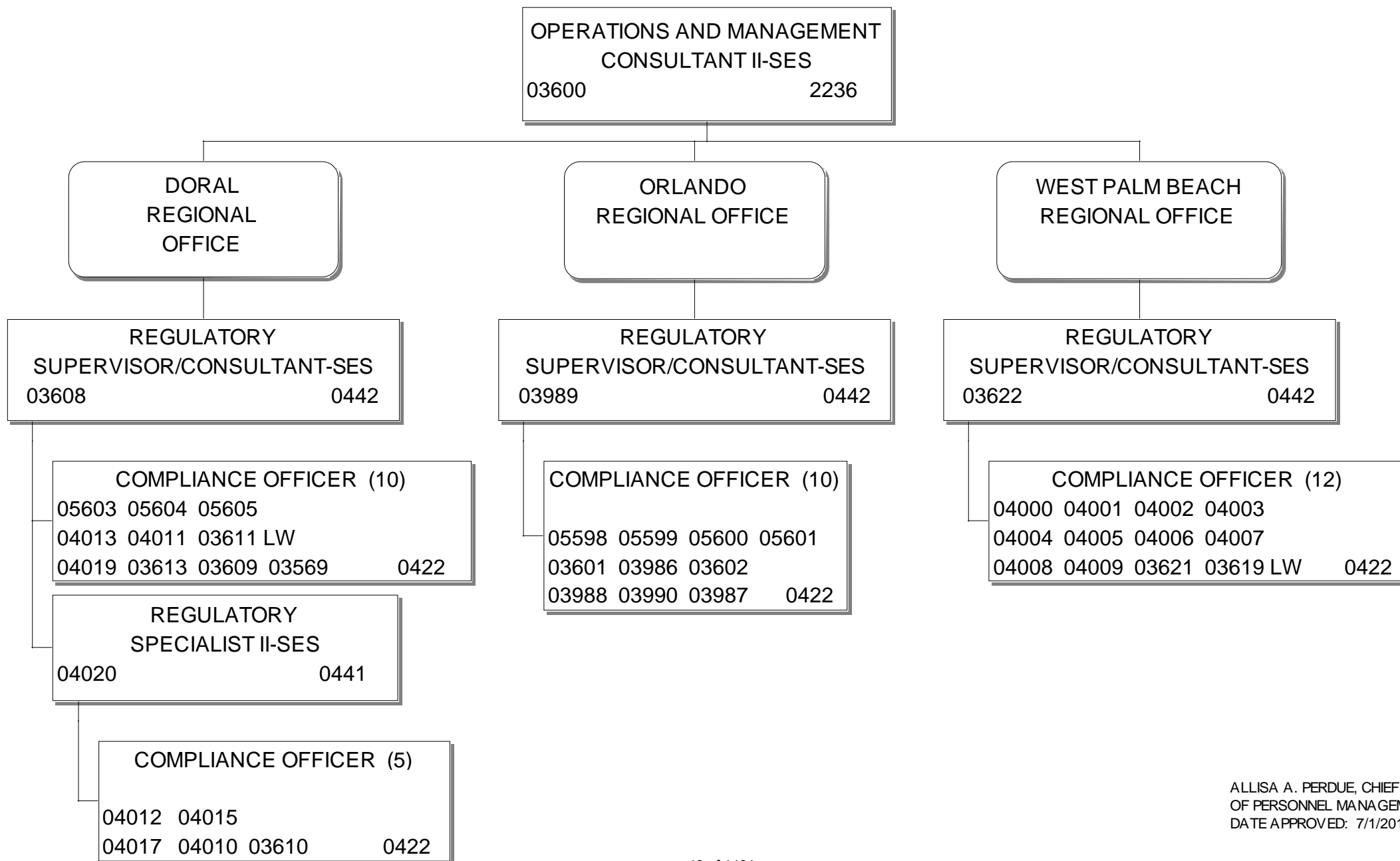
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF LICENSING**





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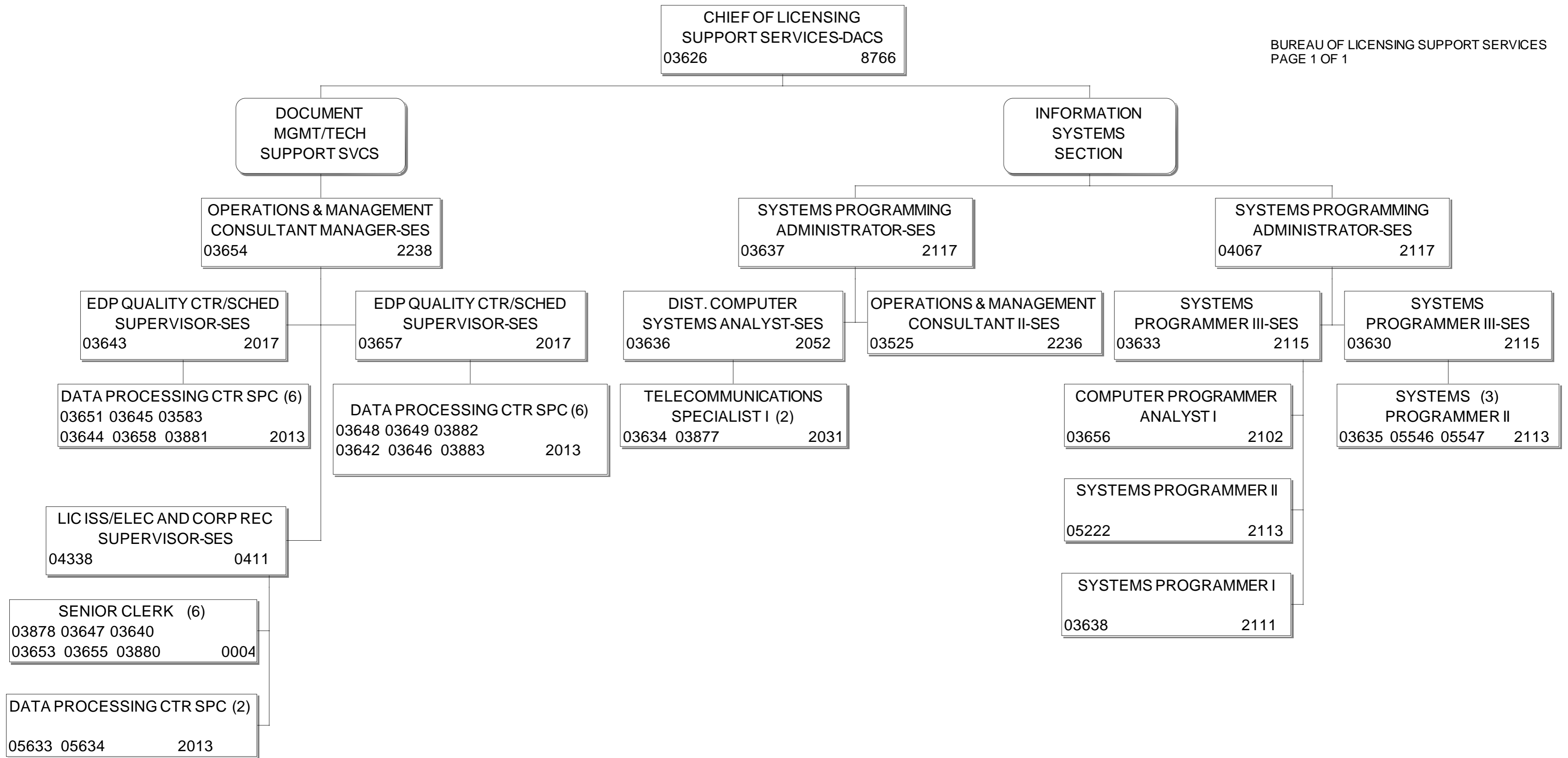
BUREAU OF LICENSE ISSUANCE  
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ALLISA A. PERDUE, CHIEF  
OF PERSONNEL MANAGEMENT  
DATE APPROVED: 7/1/2017

**DEPARTMENT OF AGRICULTURE  
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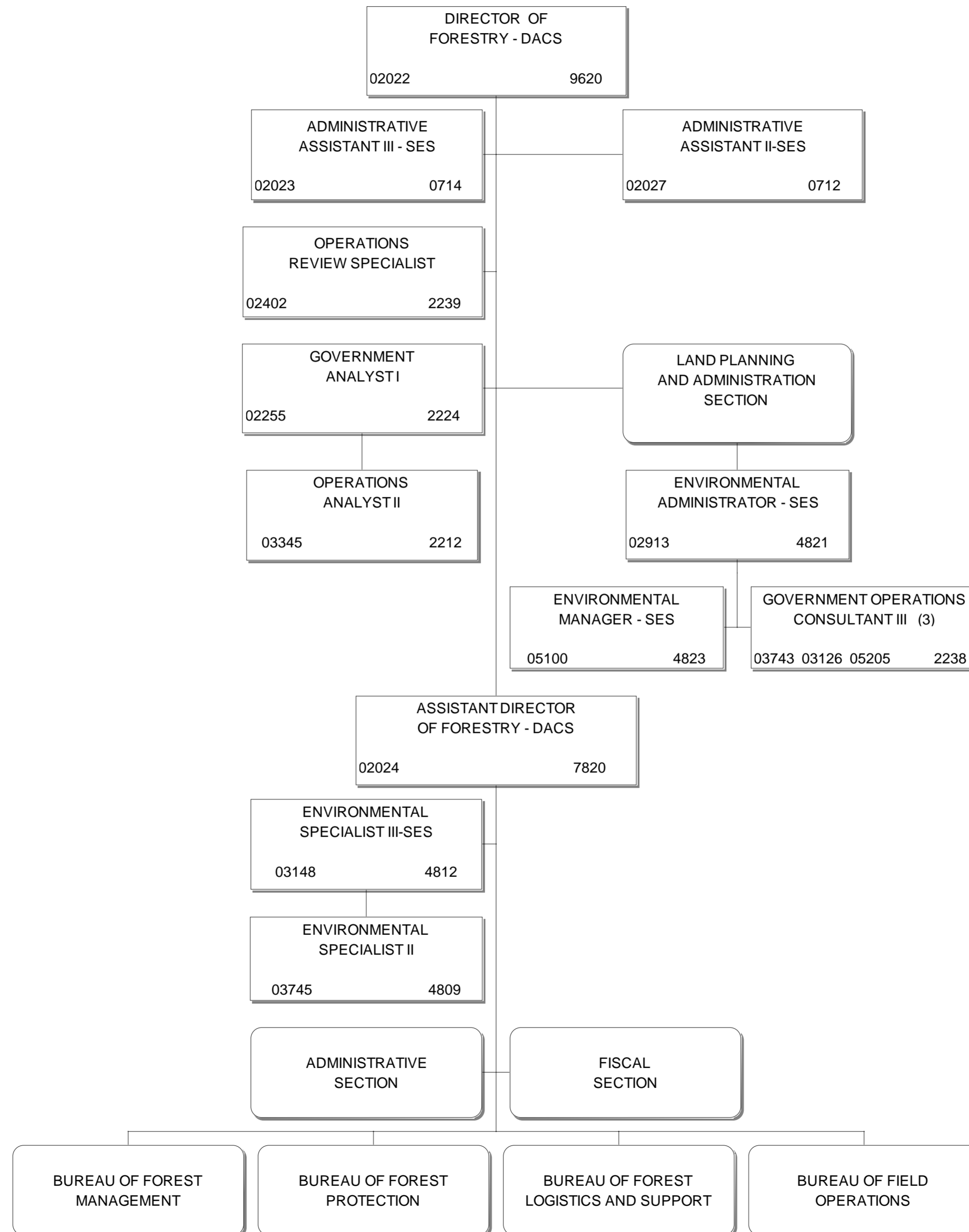
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PAGE 1 OF 1



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 7/1/2017

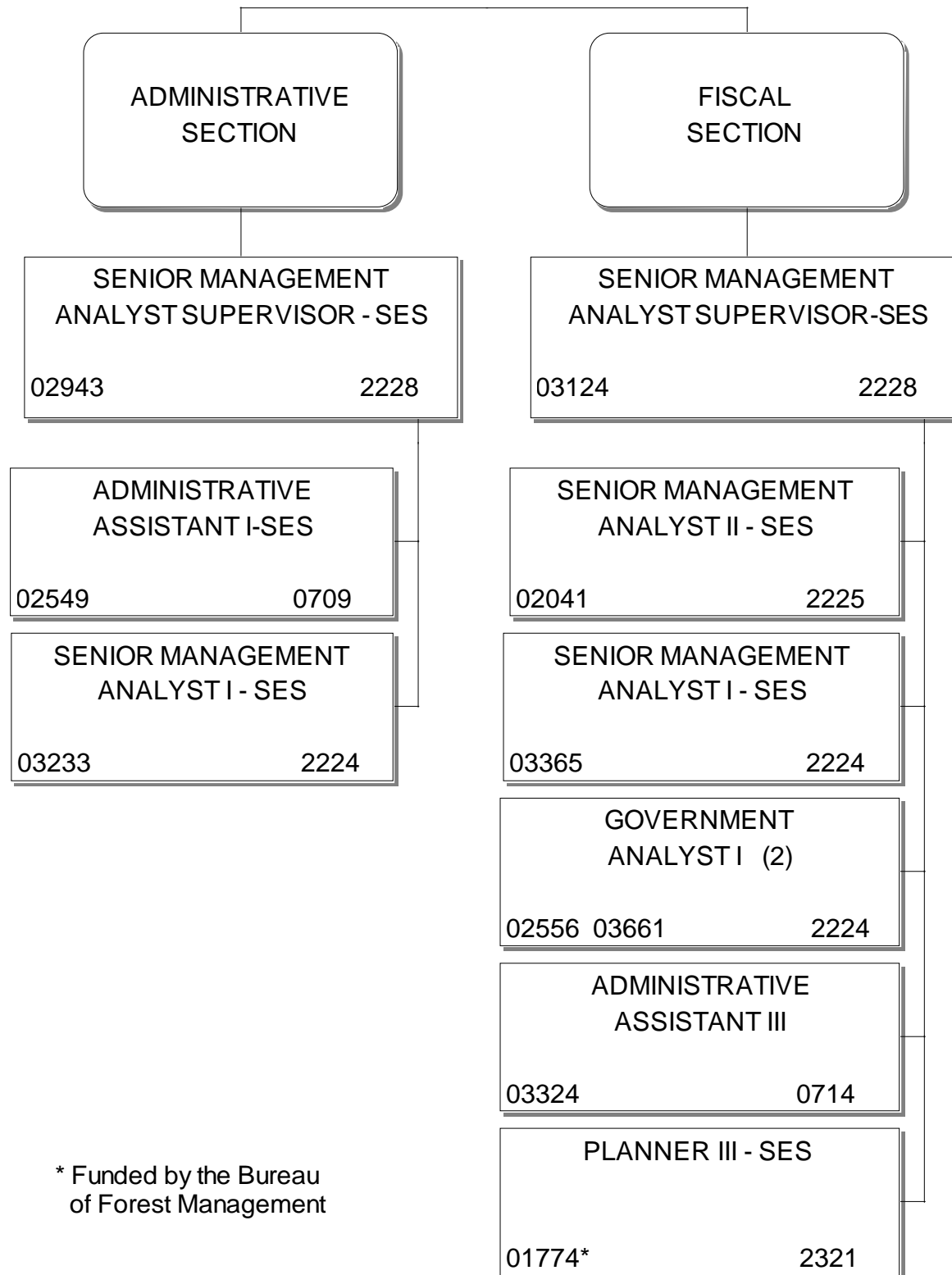
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

DIVISION F.T.E. 1,178.50  
DIRECTOR'S OFFICE  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

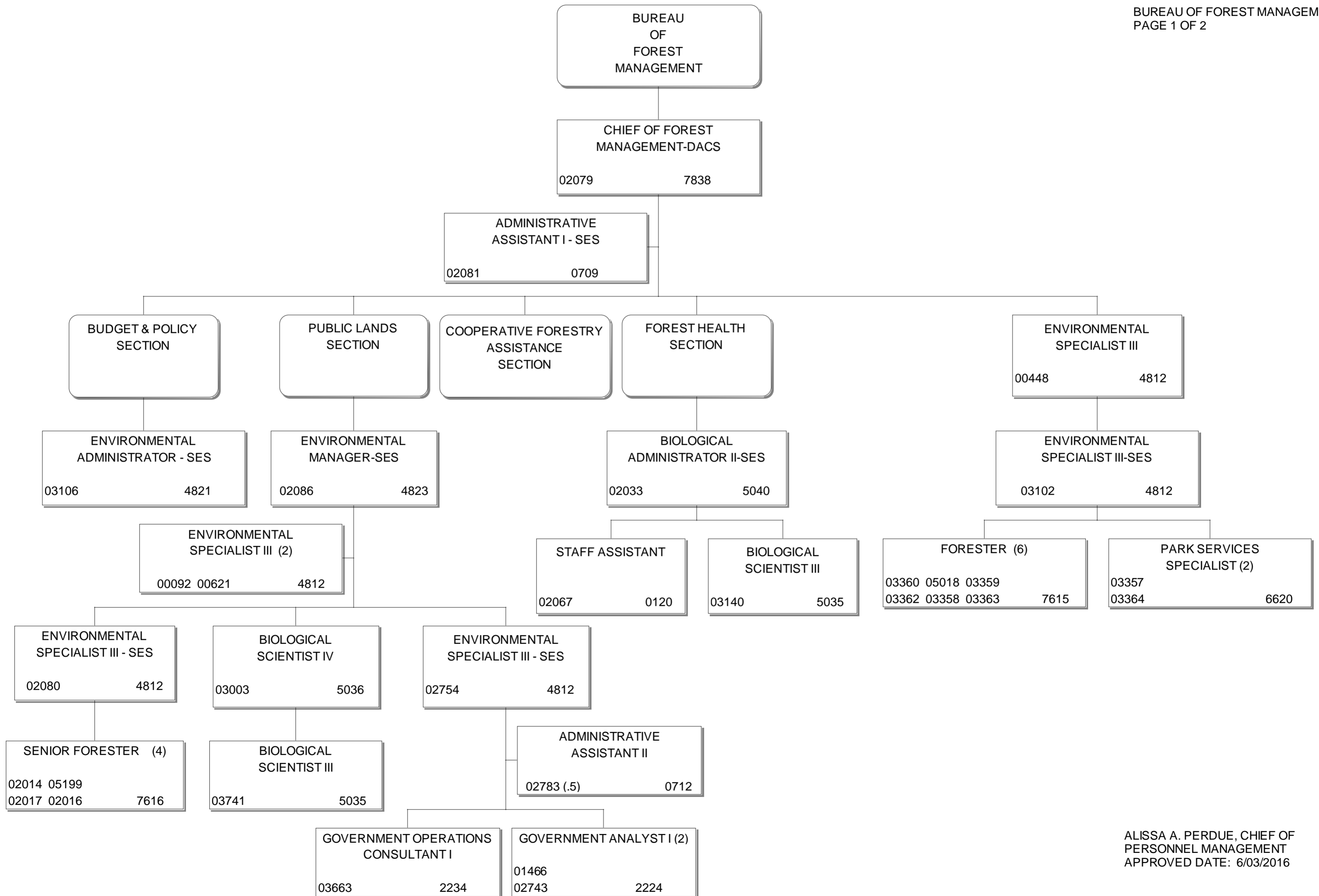
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PAGE 2 OF 2



\* Funded by the Bureau of Forest Management

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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

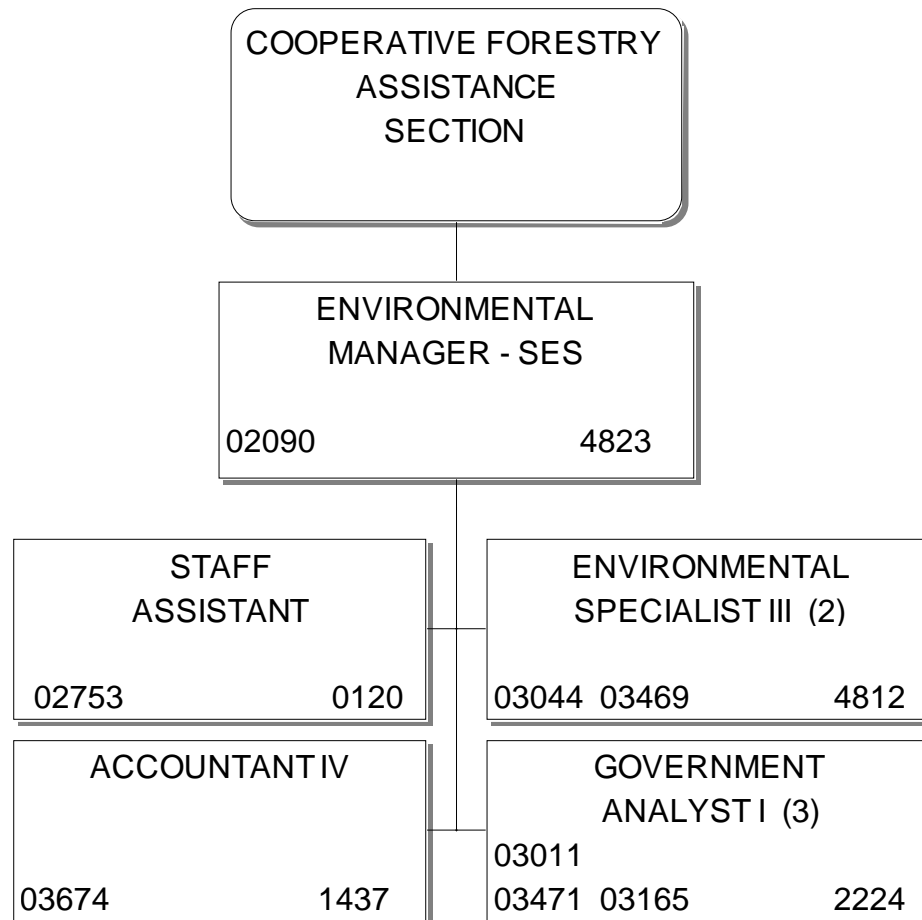
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PAGE 1 OF 2



ALISSA A. PERDUE, CHIEF OF PERSONNEL MANAGEMENT  
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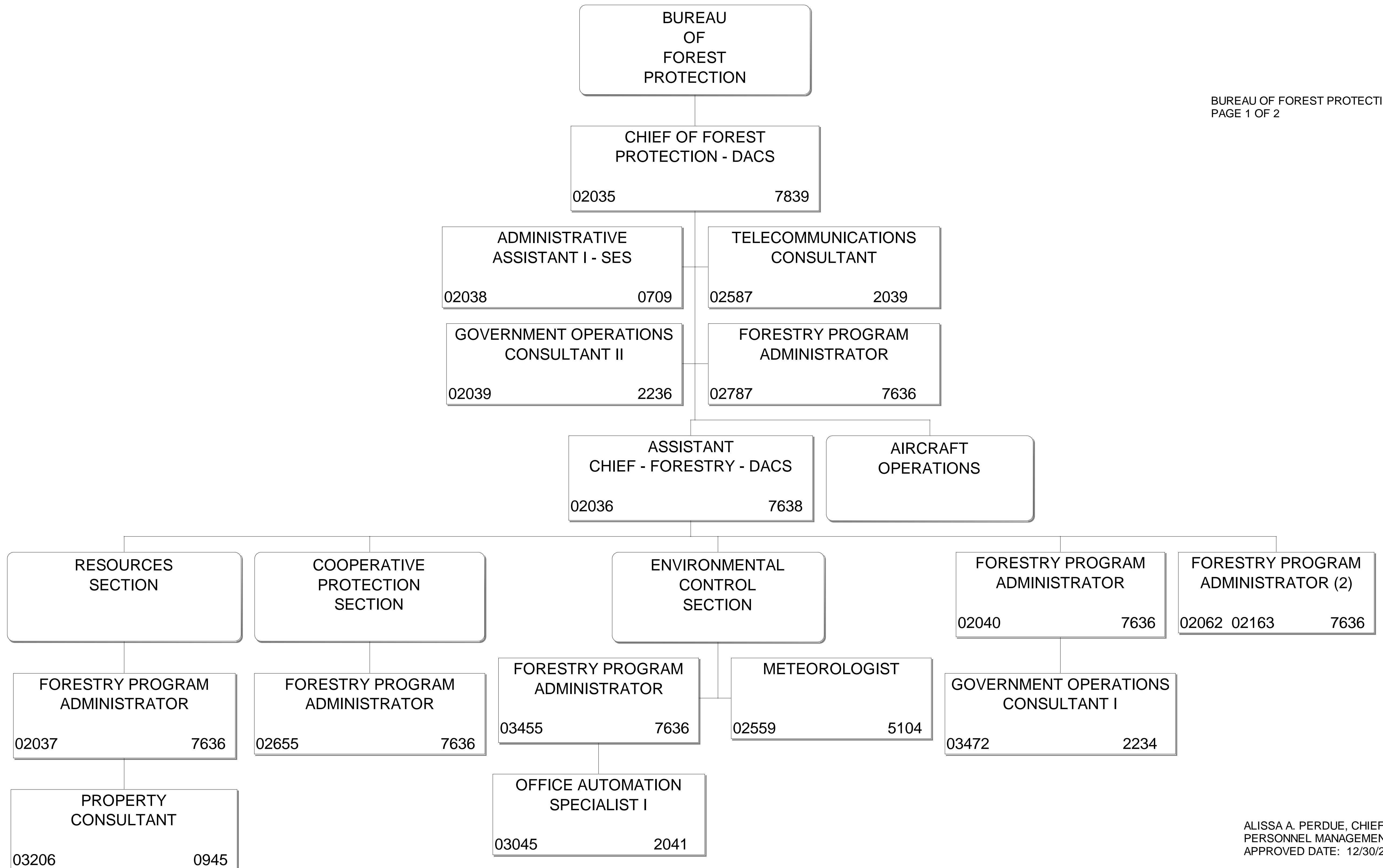
# DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES FLORIDA FOREST SERVICE

BUREAU OF FOREST MANAGEMENT  
PAGE 2 OF 2



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE  
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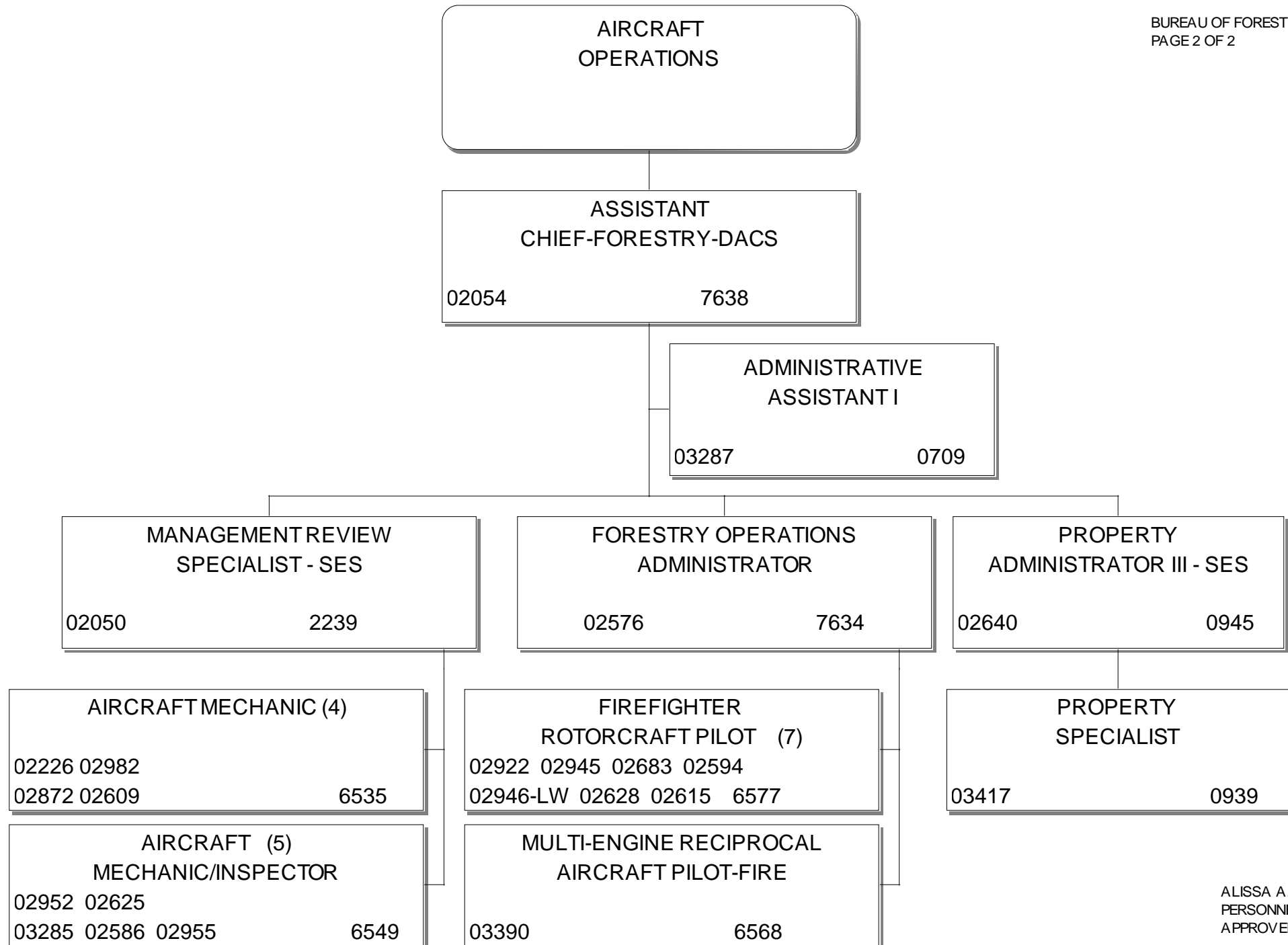
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PAGE 1 OF 2



ALISSA A. PERDUE, CHIEF OF PERSONNEL MANAGEMENT  
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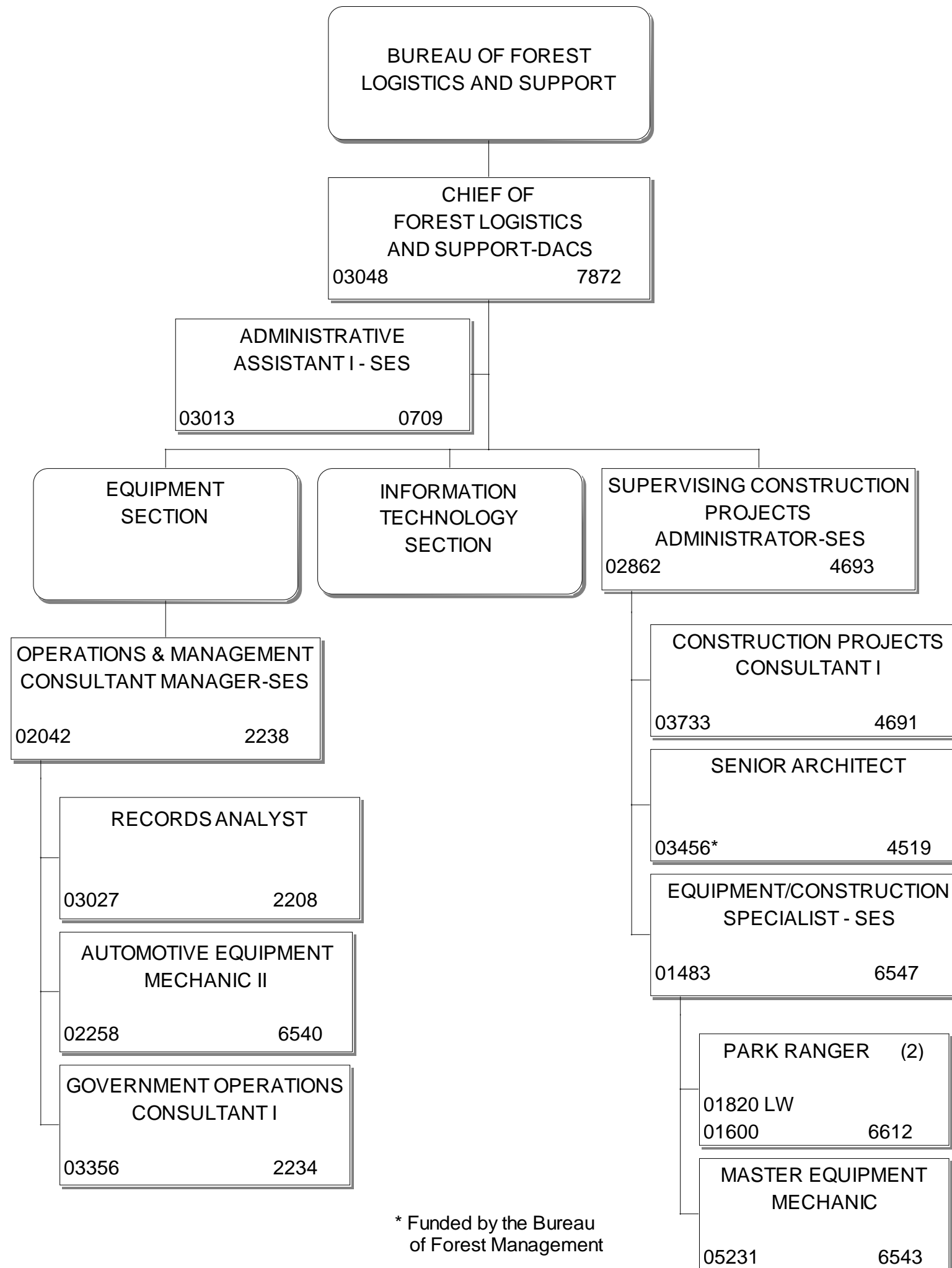
**DEPARTMENT OF AGRICULTURE AND CONSUMER  
SERVICES - DIVISION OF FORESTRY  
FLORIDA FOREST SERVICE  
BUREAU OF FOREST PROTECTION**

BUREAU OF FOREST PROTECTION  
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**DEPARTMENT OF AGRICULTURE  
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FLORIDA FOREST SERVICE**

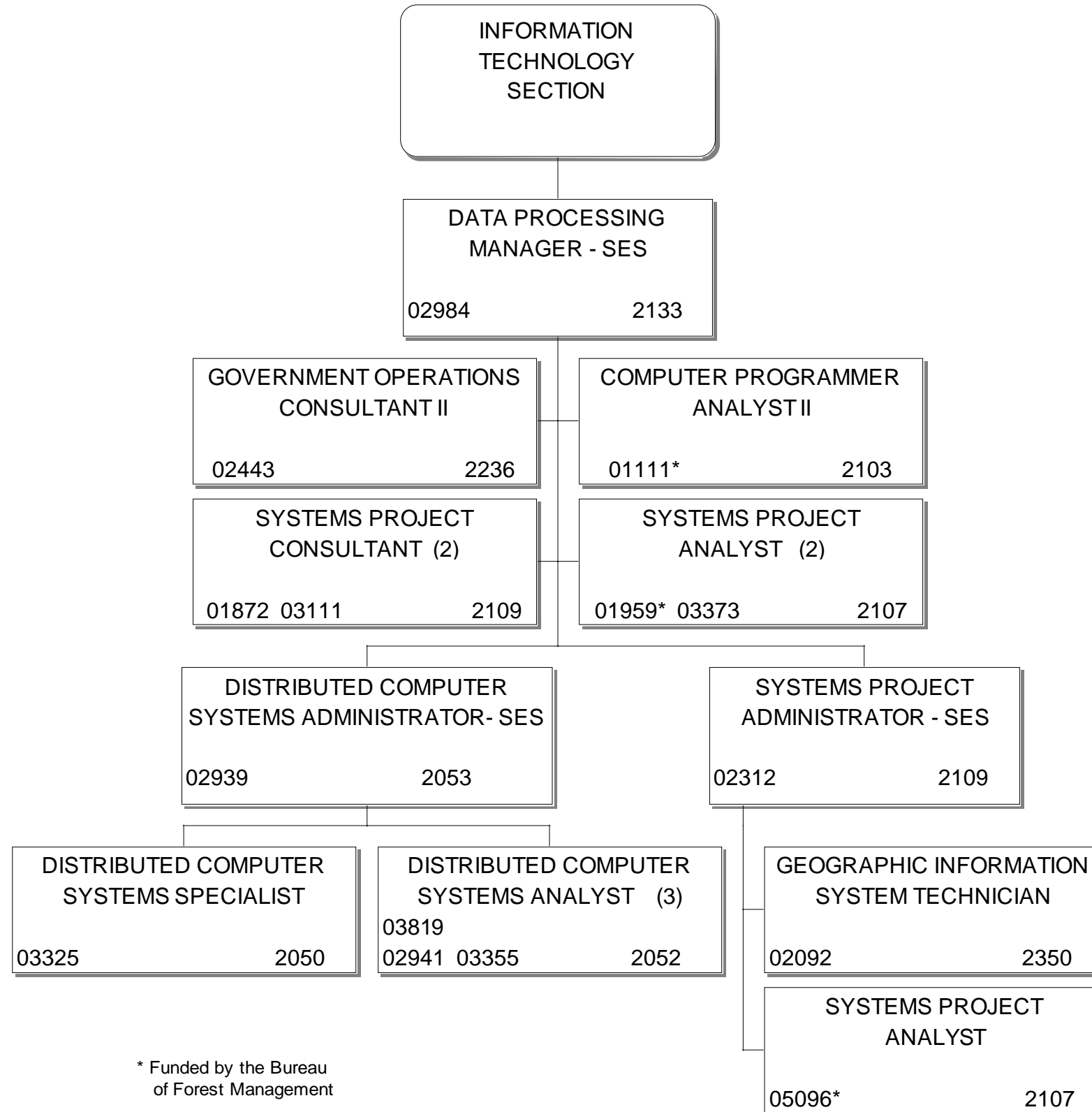


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APPROVED DATE: 6/30/2017

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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FOREST LOGISTICS  
AND SUPPORT  
PAGE 2 OF 2



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APPROVED DATE: 2/26/2016

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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU  
OF  
FIELD  
OPERATIONS

BUREAU OF FIELD OPERATIONS  
ADMINISTRATIVE  
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CHIEF OF FIELD  
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DEPUTY CHIEF OF FORESTRY  
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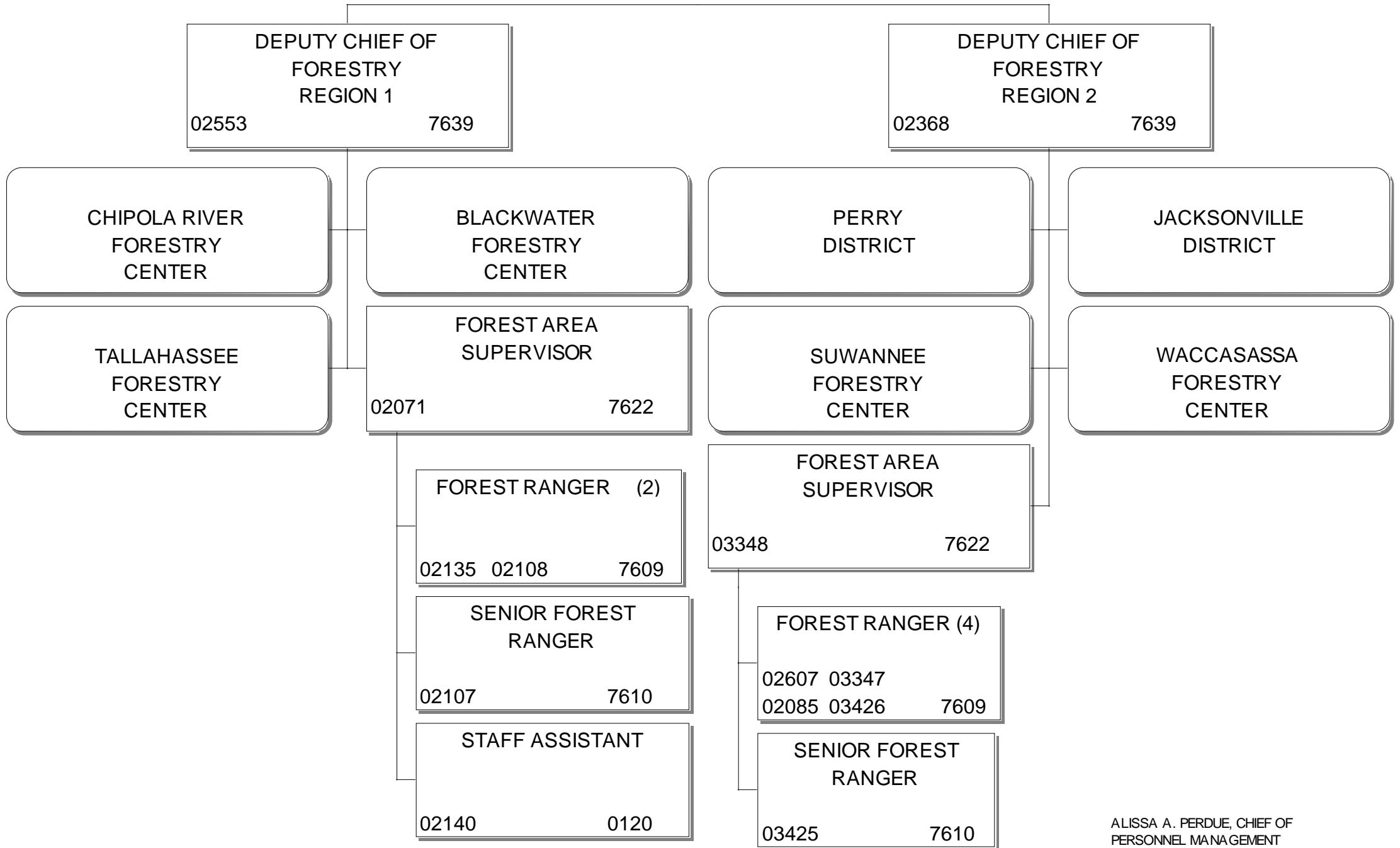
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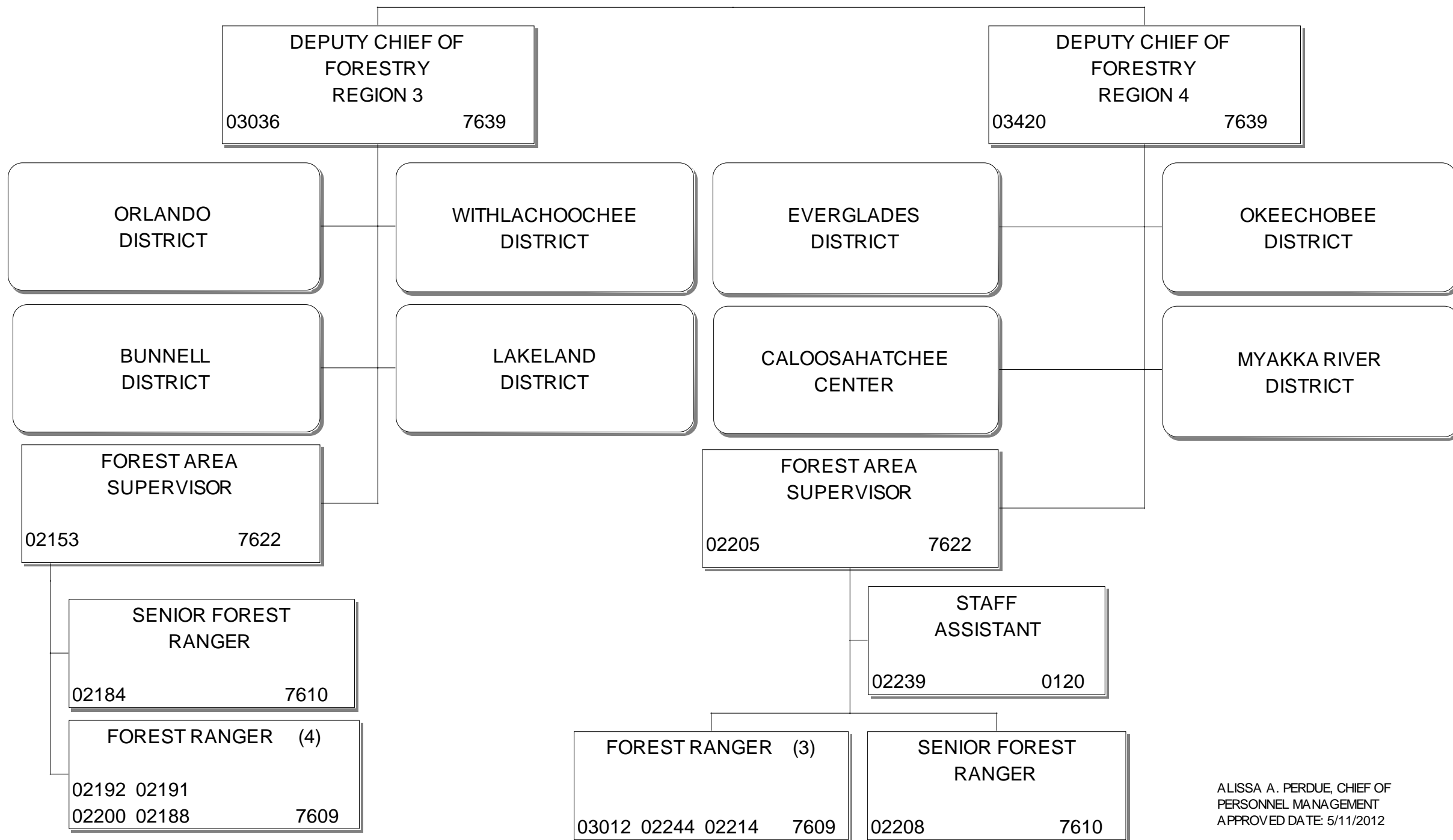
# DEPARTMENT OF AGRICULTURE AND COSUMER SERVICES FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS  
ADMINISTRATIVE  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

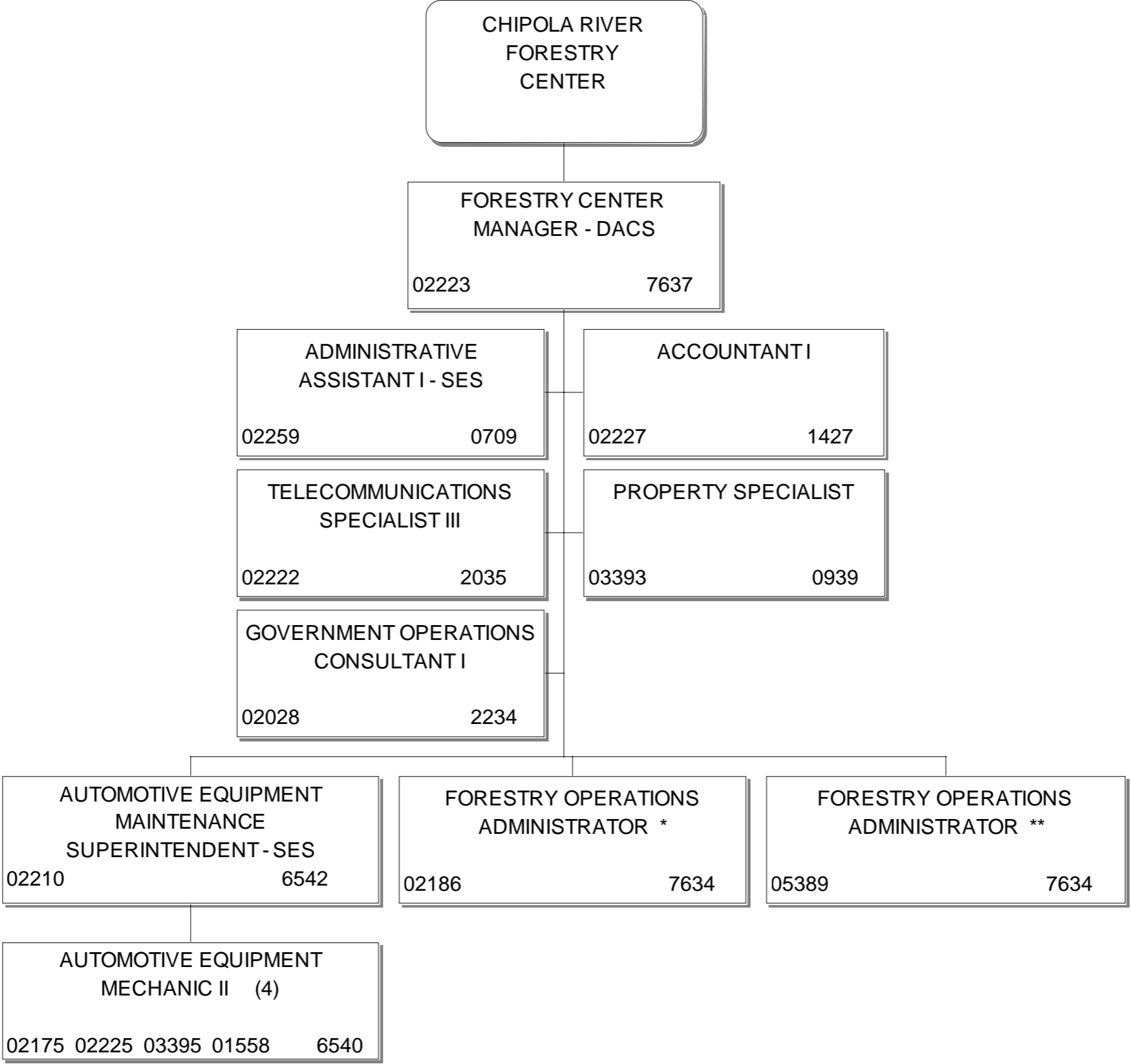
BUREAU OF FIELD OPERATIONS  
ADMINISTRATIVE  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 5/11/2012

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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
CHIPOLA RIVER FORESTRY CENTER  
PAGE 1 OF 3

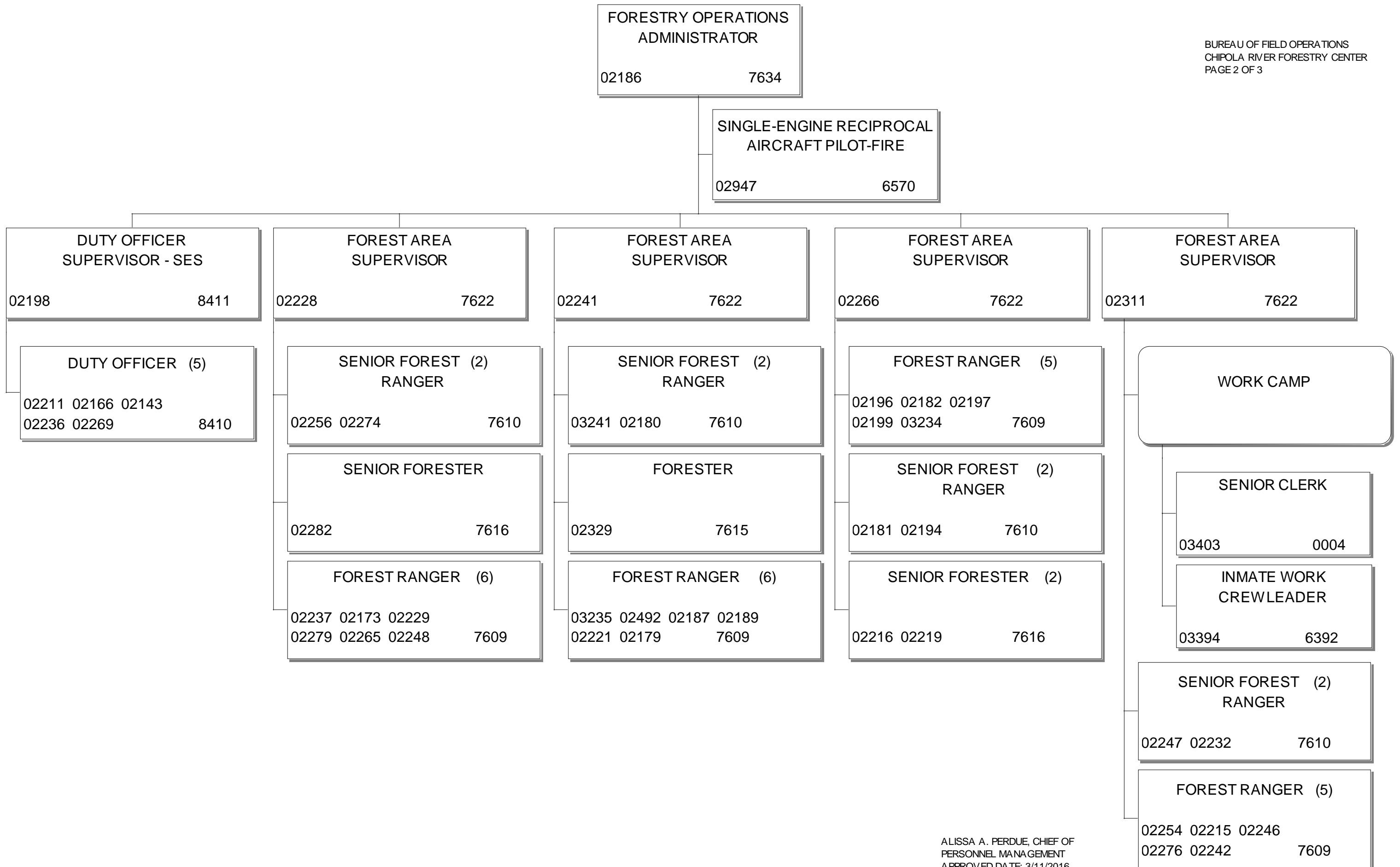


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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVE DATE: 2/24/2017

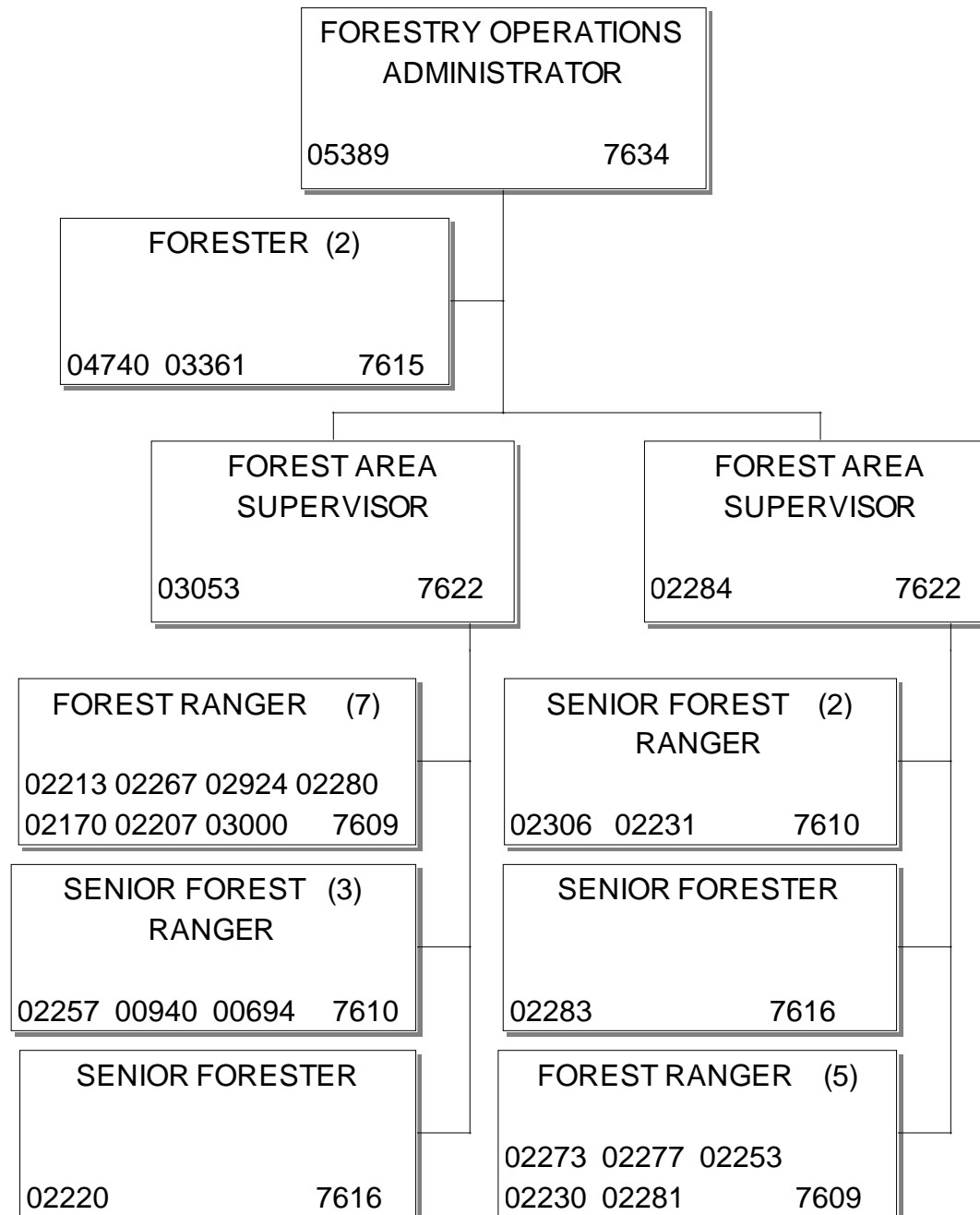
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
CHIPOLA RIVER FORESTRY CENTER  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 3/11/2016

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**



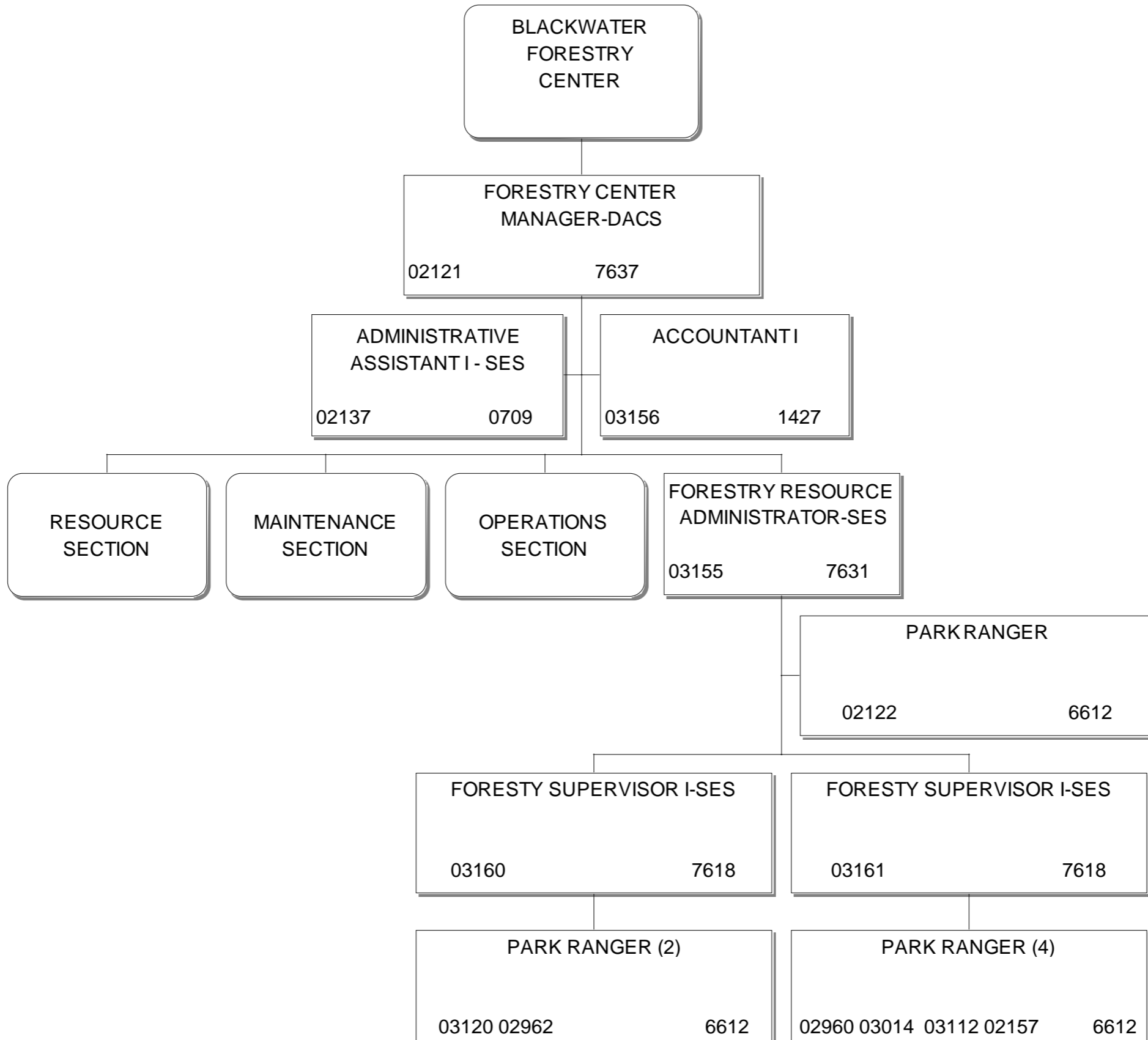
BUREAU OF FIELD OPERATIONS  
CHIPOLA RIVER FORESTRY CENTER  
PAGE 3 OF 3

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 2/24/2017



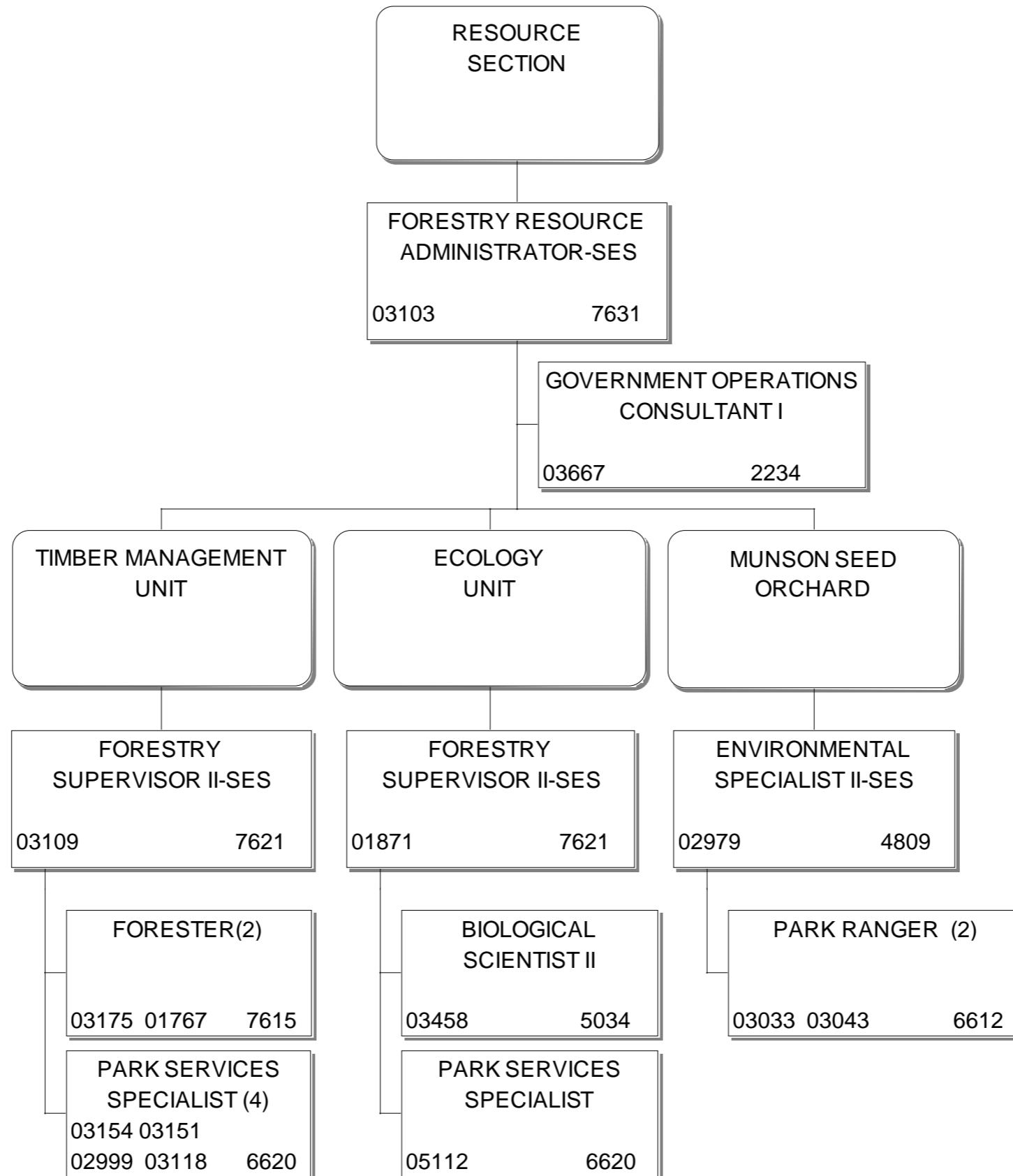
**DEPARTMENT OF AGRICULTURE  
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FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
BLACKWATER FORESTRY CENTER  
PAGE 1 OF 4



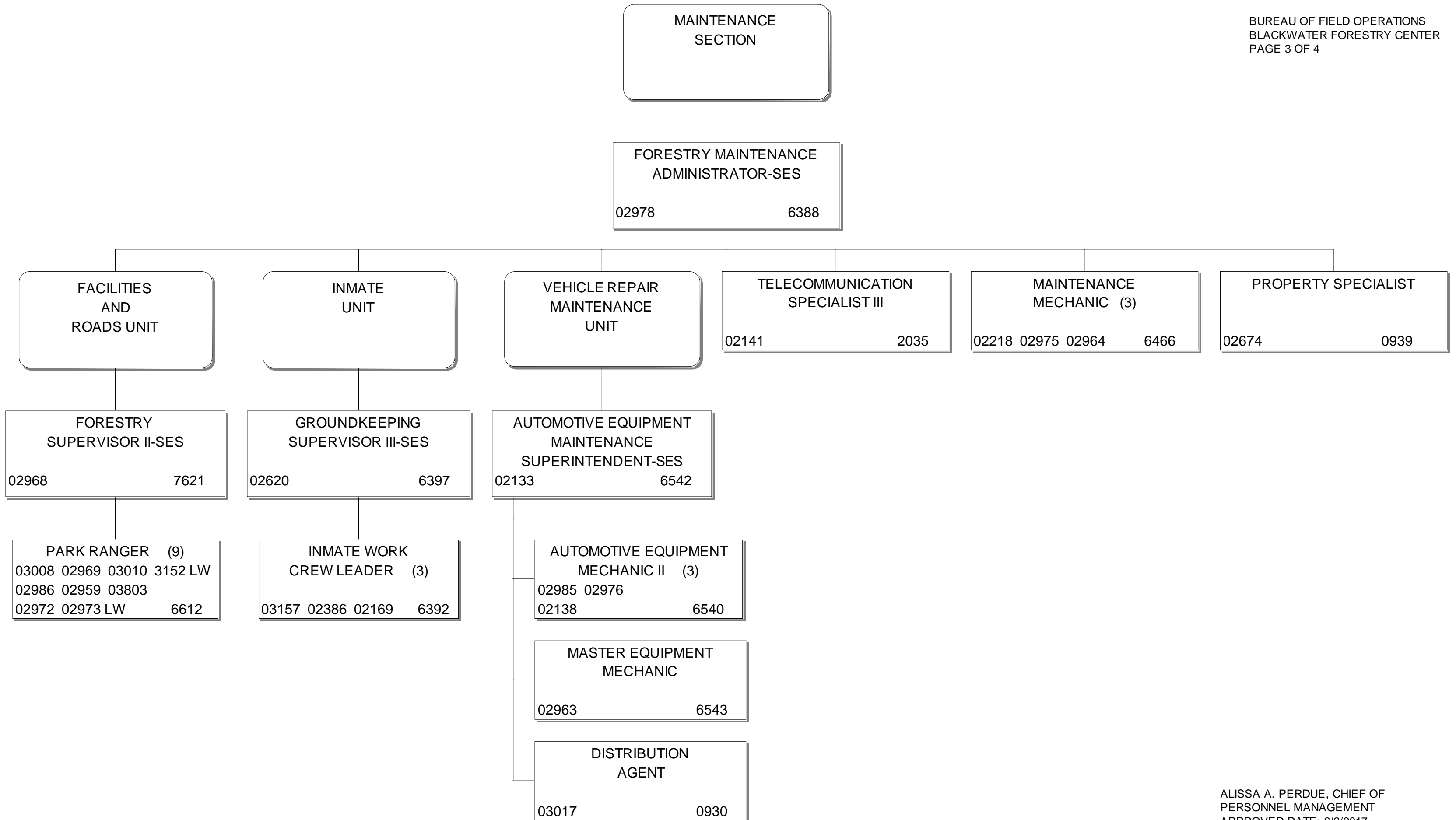
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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
BLACKWATER FORESTRY CENTER  
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**DEPARTMENT OF AGRICULTURE  
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FLORIDA FOREST SERVICE**

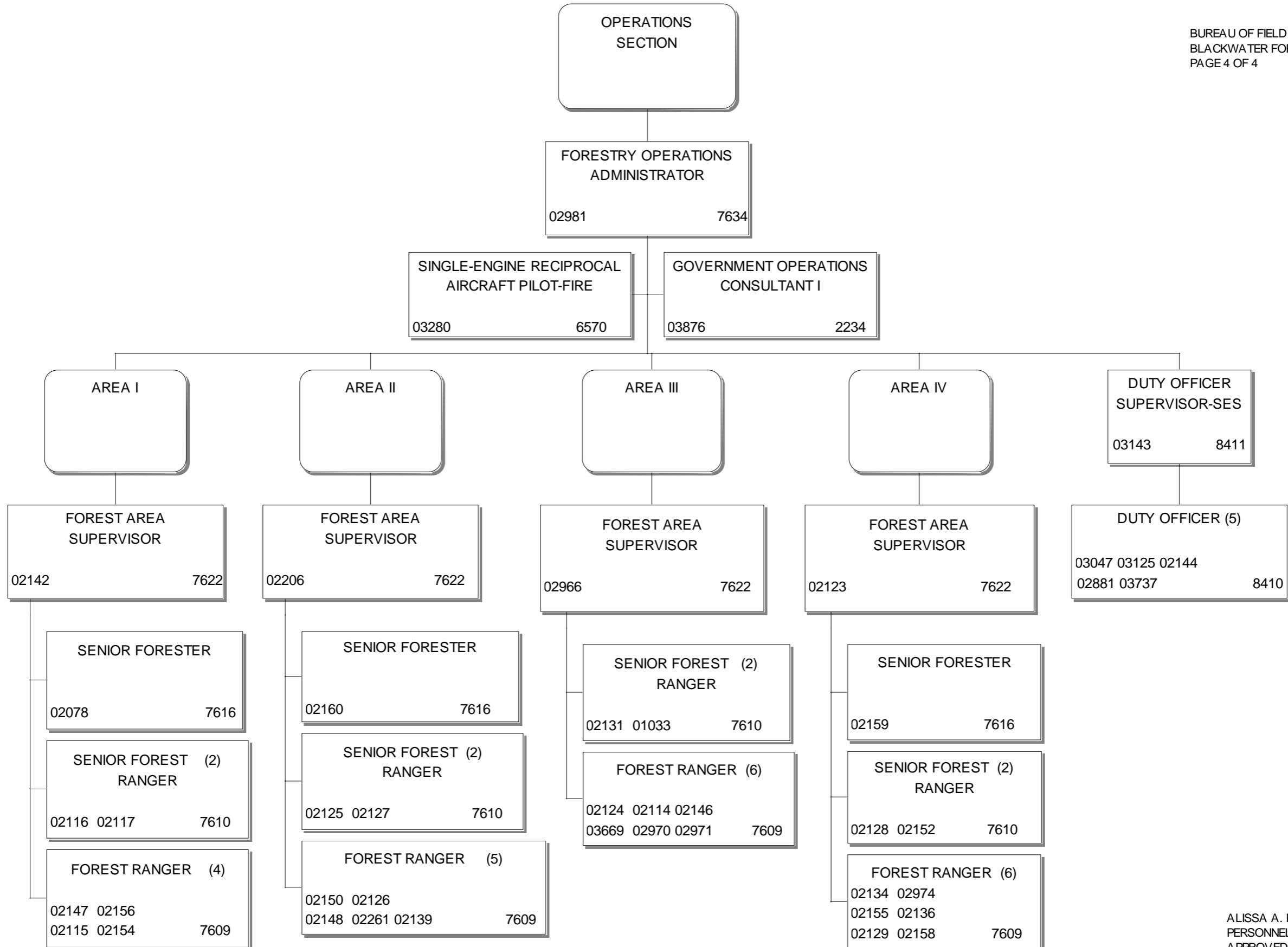
BUREAU OF FIELD OPERATIONS  
BLACKWATER FORESTRY CENTER  
PAGE 3 OF 4



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 6/2/2017

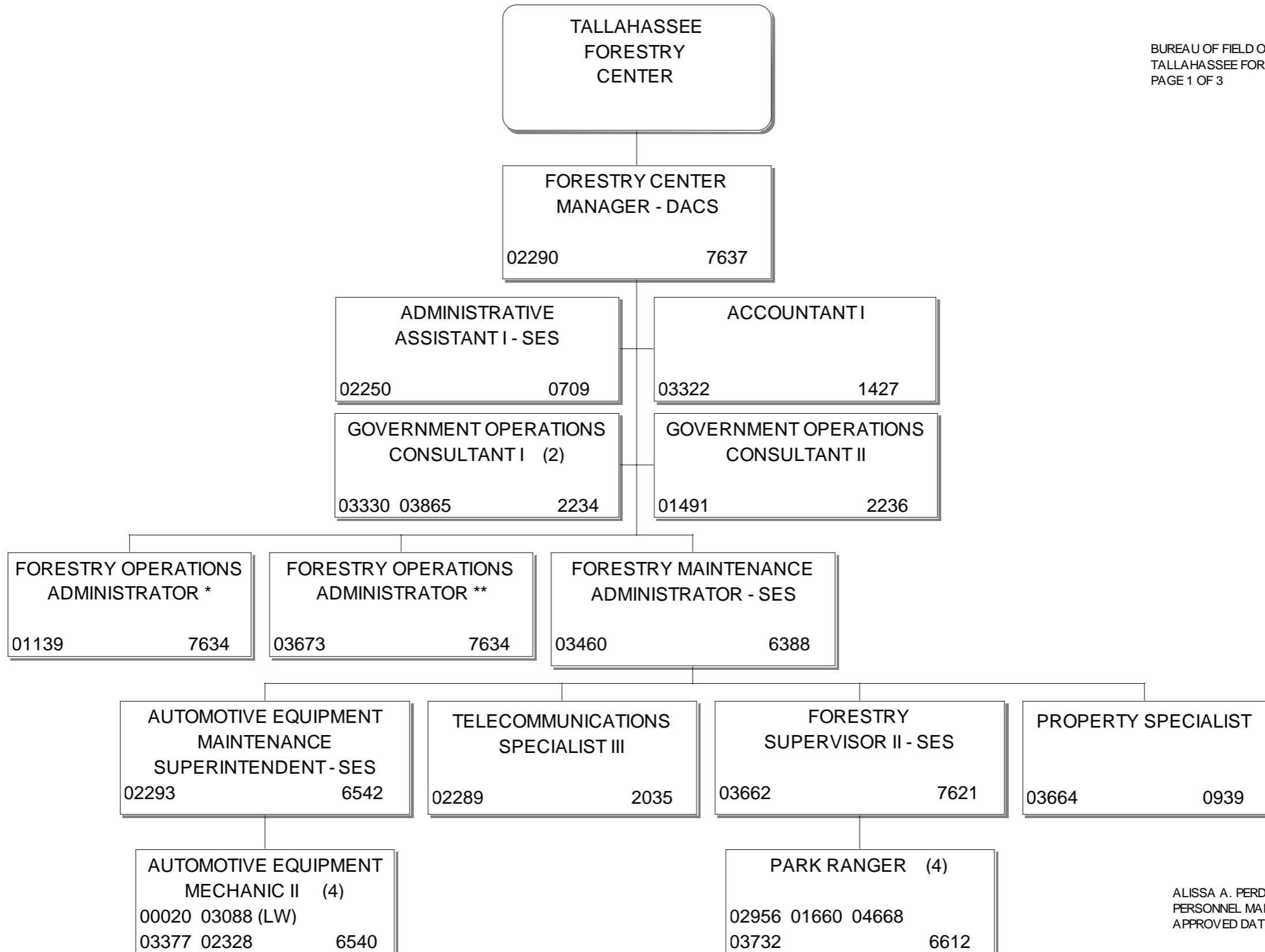
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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
BLACKWATER FORESTRY CENTER  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
TALLAHASSEE FORESTRY CENTER  
PAGE 1 OF 3

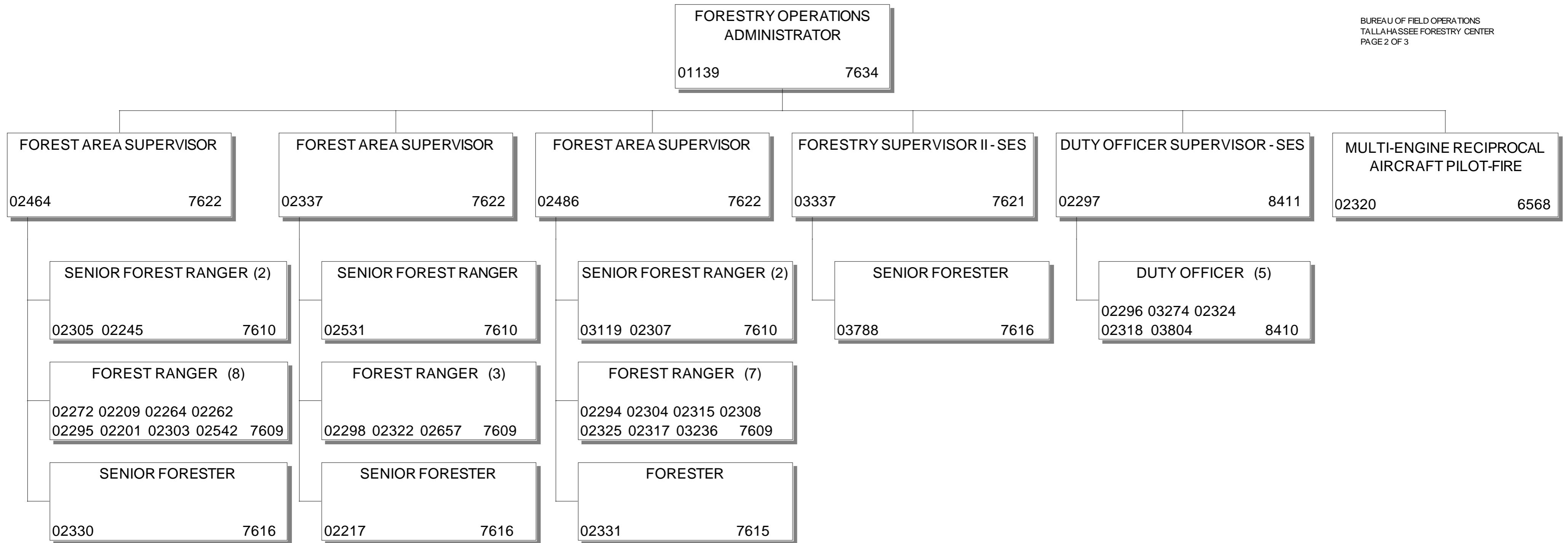


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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 9/23/2016

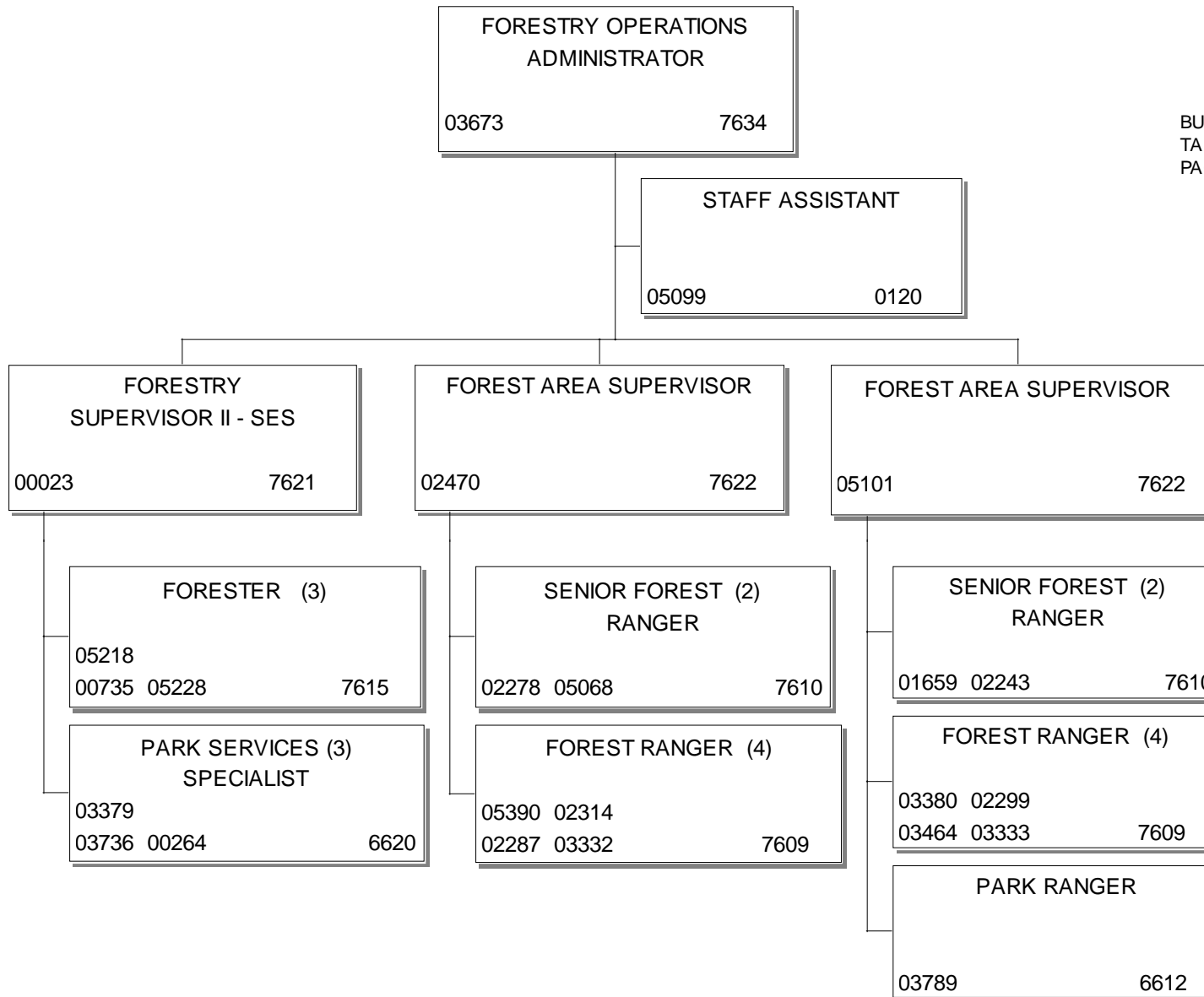
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
TALLAHASSEE FORESTRY CENTER  
PAGE 2 OF 3



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 11/20/2015

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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

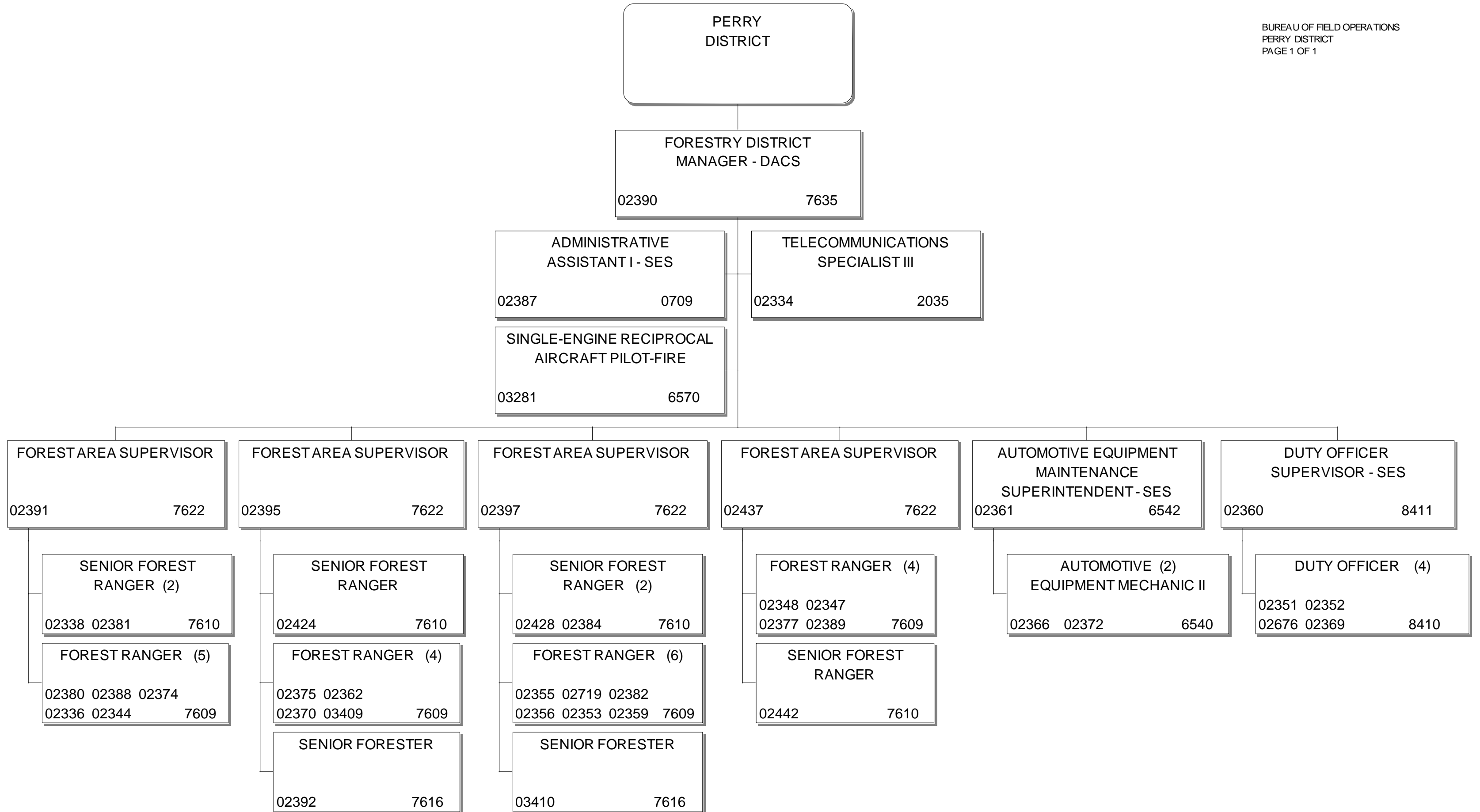


BUREAU OF FIELD OPERATIONS  
TALLAHASSEE FORESTRY CENTER  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 06/21/2013

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
PERRY DISTRICT  
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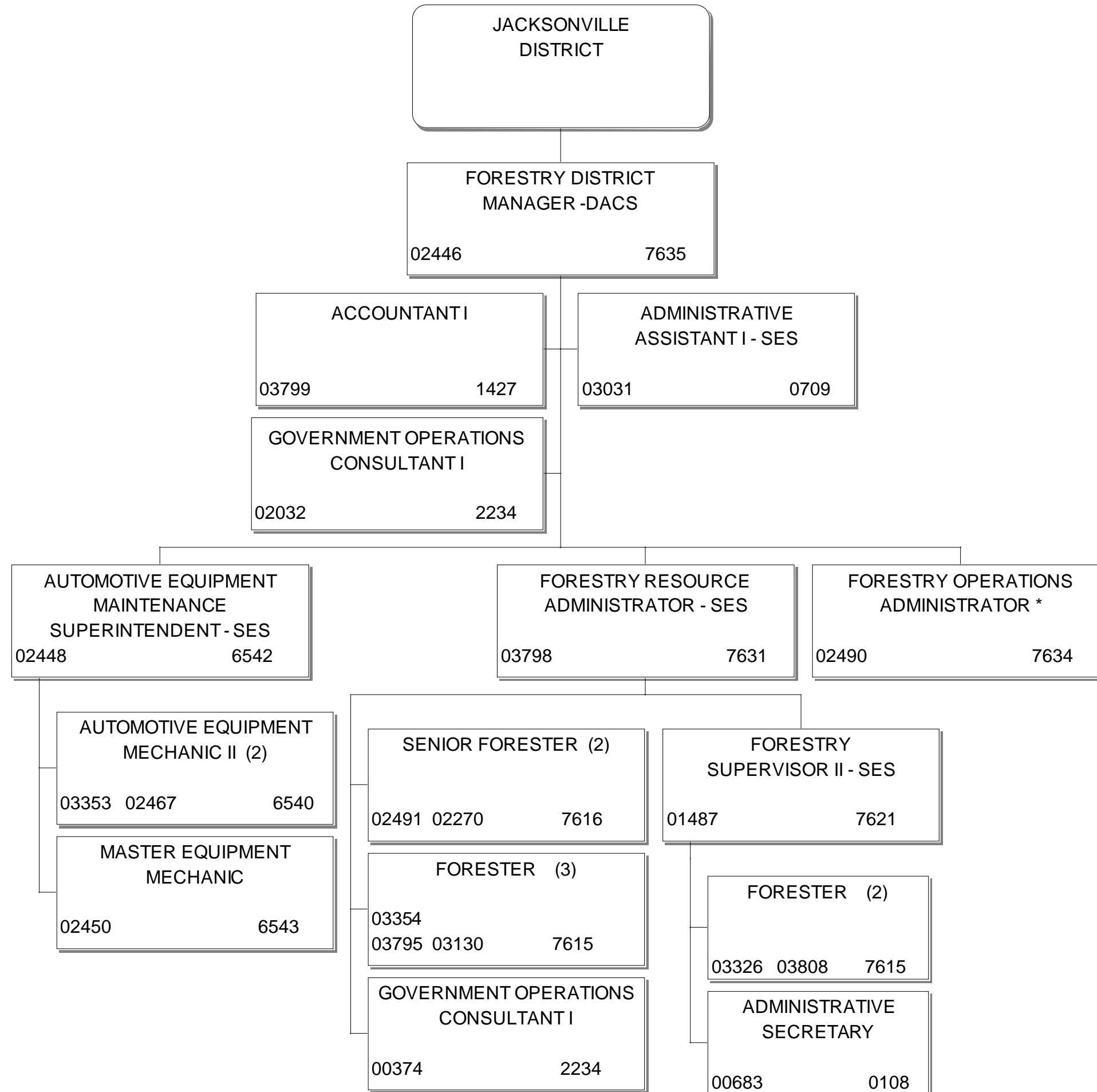


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 1/15/2016



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
JACKSONVILLE DISTRICT  
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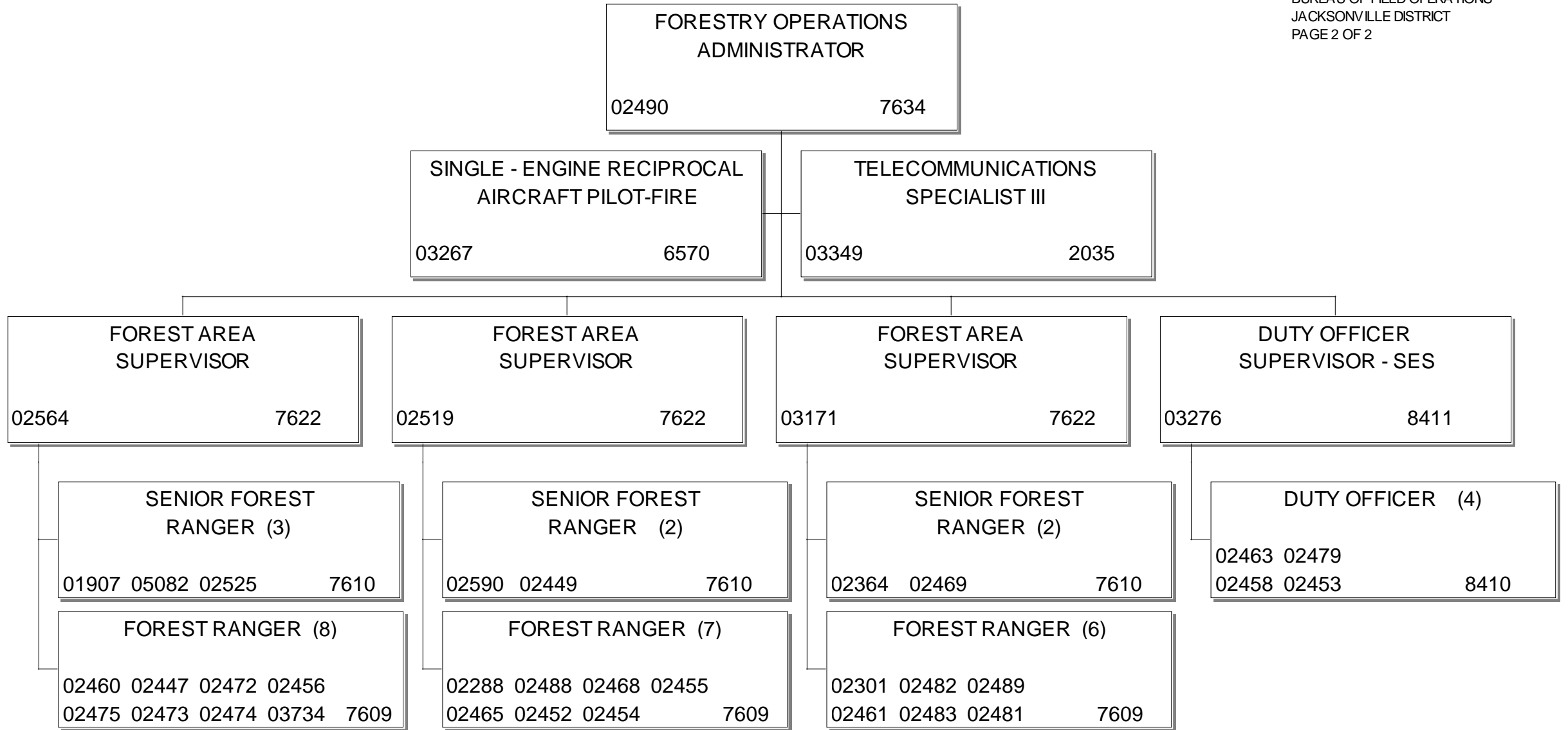


\*SEE PAGE 2

ALISSA A. PERDUE, CHIEF OF PERSONNEL MANAGEMENT  
APPROVED DATE: 8/26/2016

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

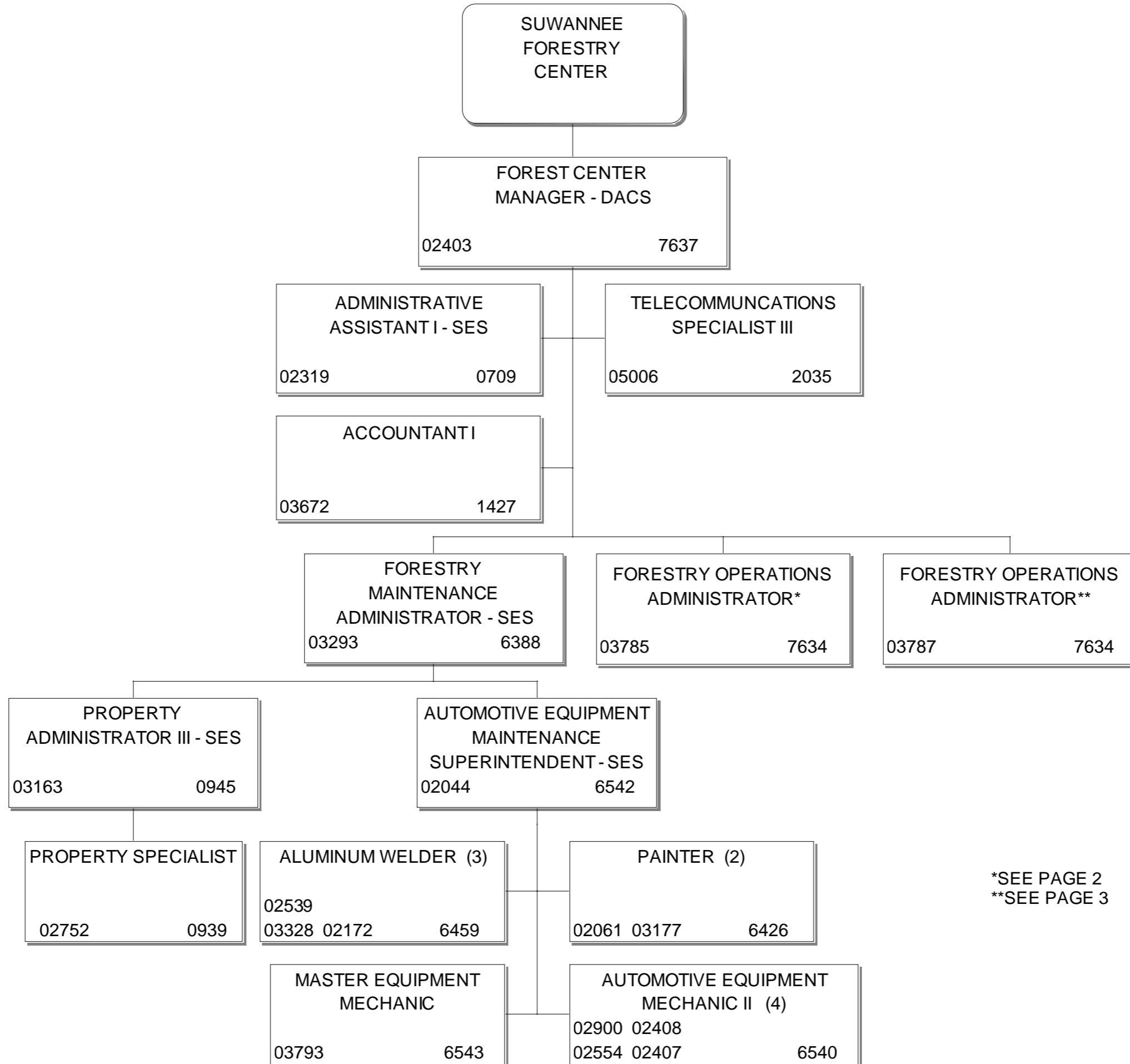
BUREAU OF FIELD OPERATIONS  
JACKSONVILLE DISTRICT  
PAGE 2 OF 2



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 8/17/2012

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
SUWANNEE FORESTRY CENTER  
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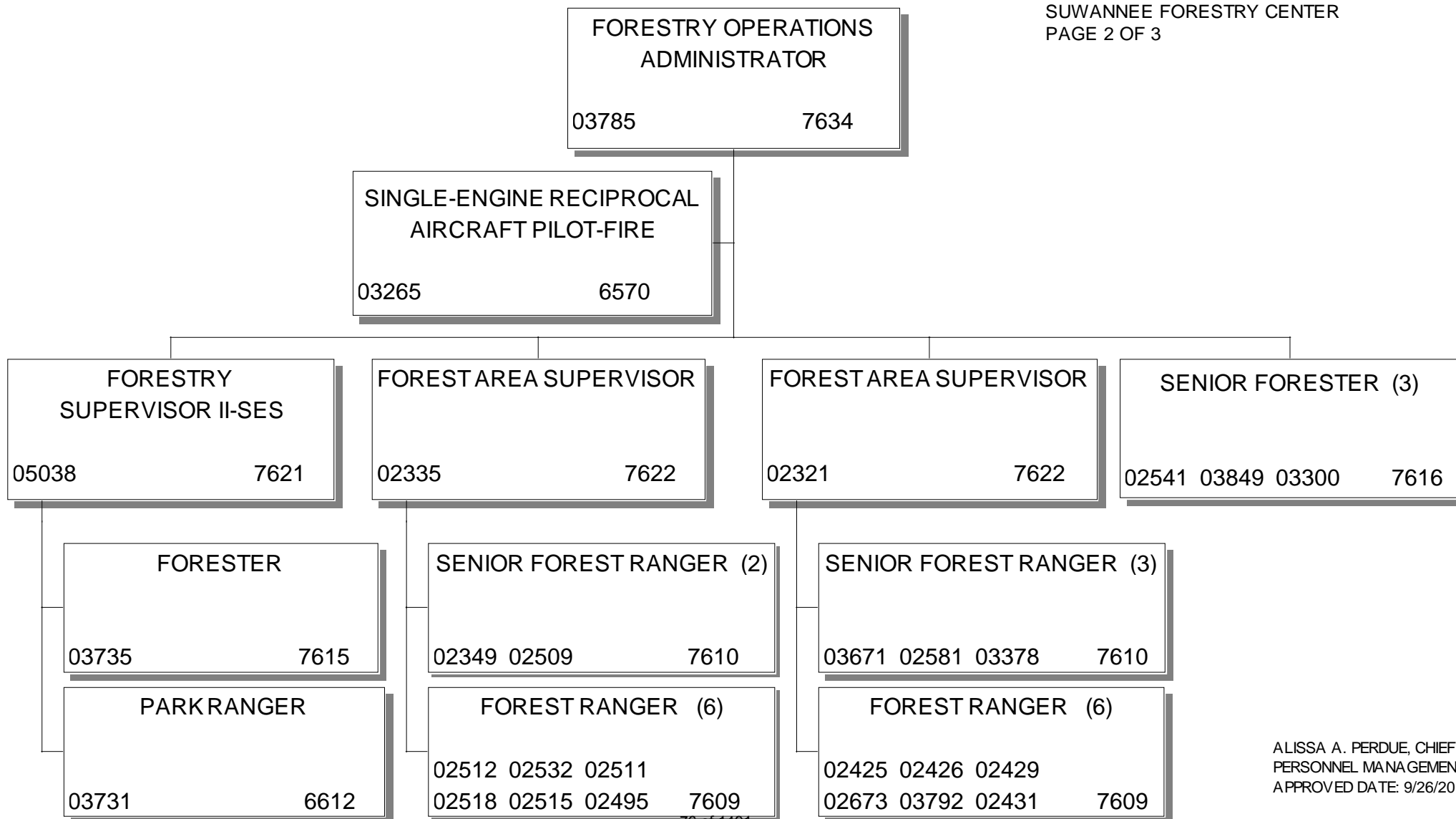


\*SEE PAGE 2  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 2/26/2016

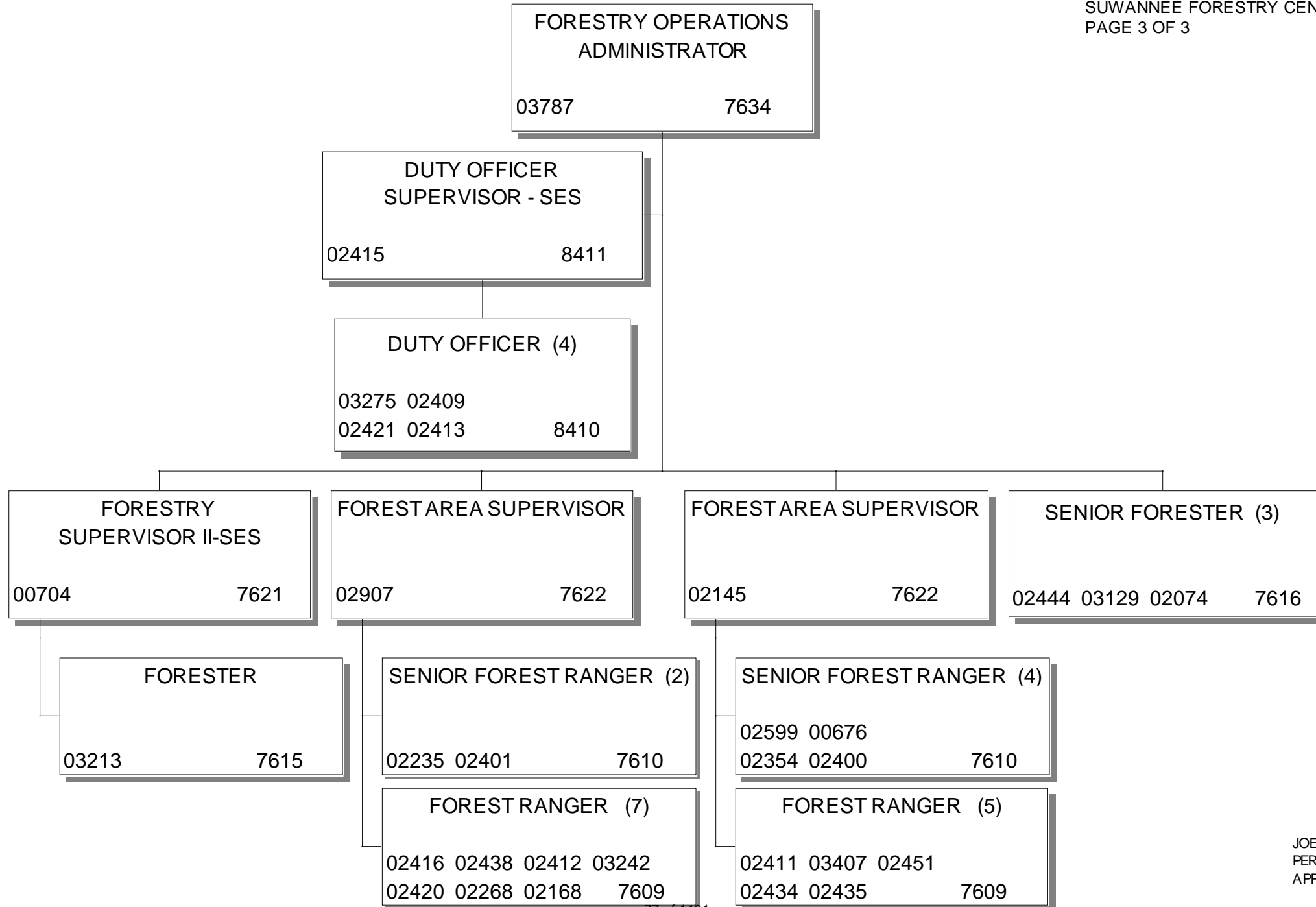
# DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS  
SUWANNEE FORESTRY CENTER  
PAGE 2 OF 3



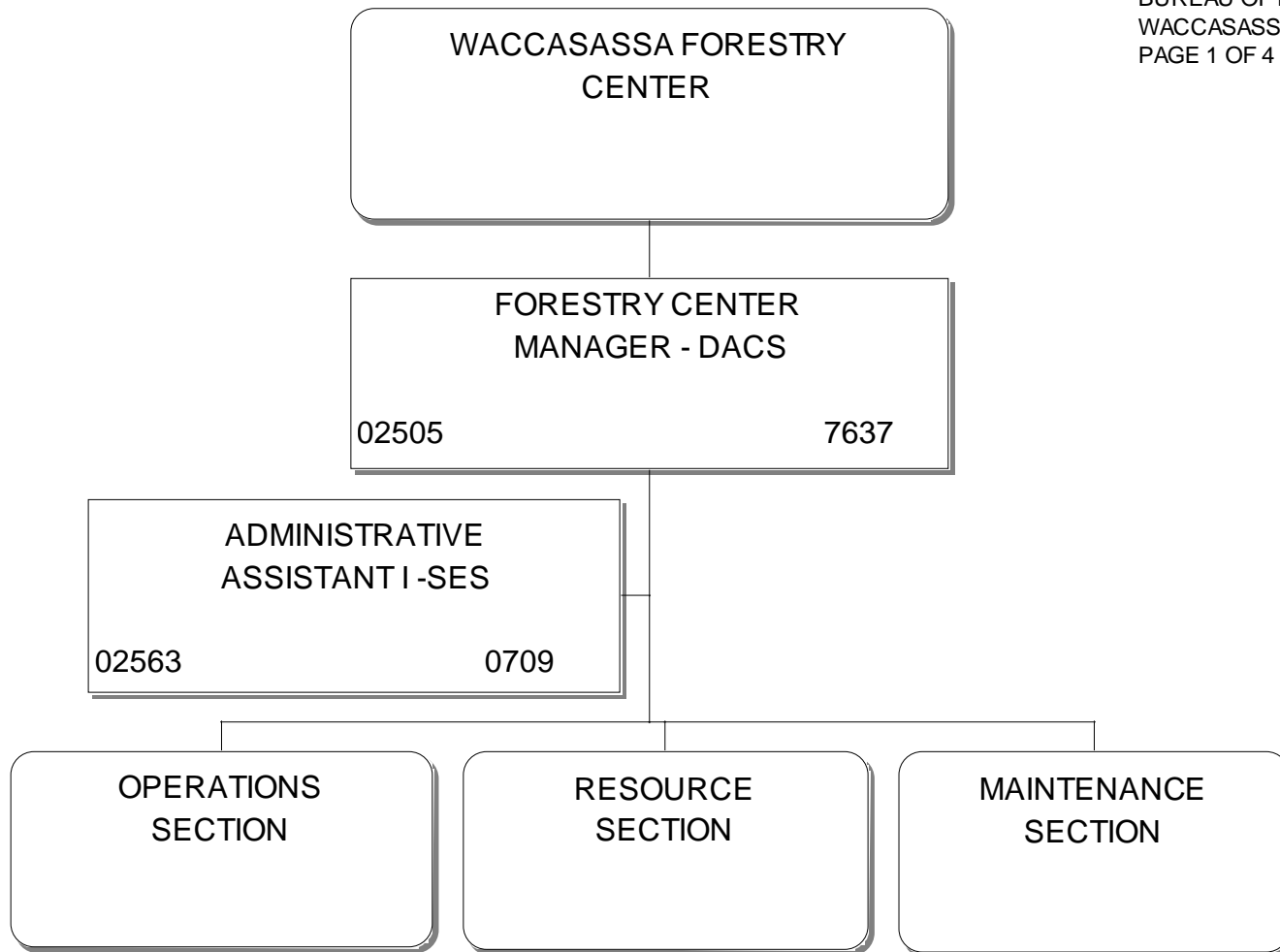
# DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES FLORIDA FOREST SERVICE

BUREAU OF FIELD OPERATIONS  
SUWANNEE FORESTRY CENTER  
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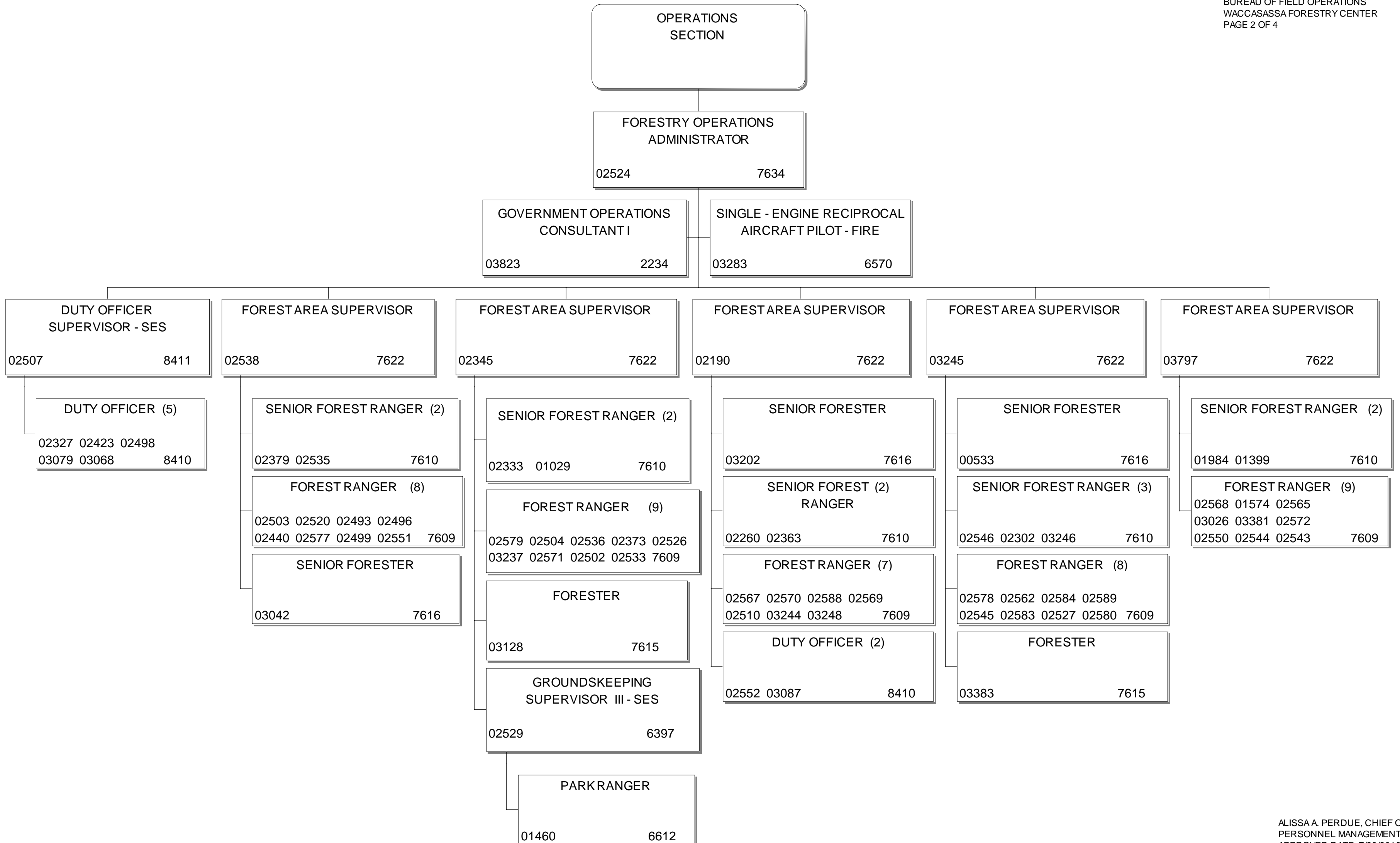
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
WACCASASSA FORESTRY CENTER  
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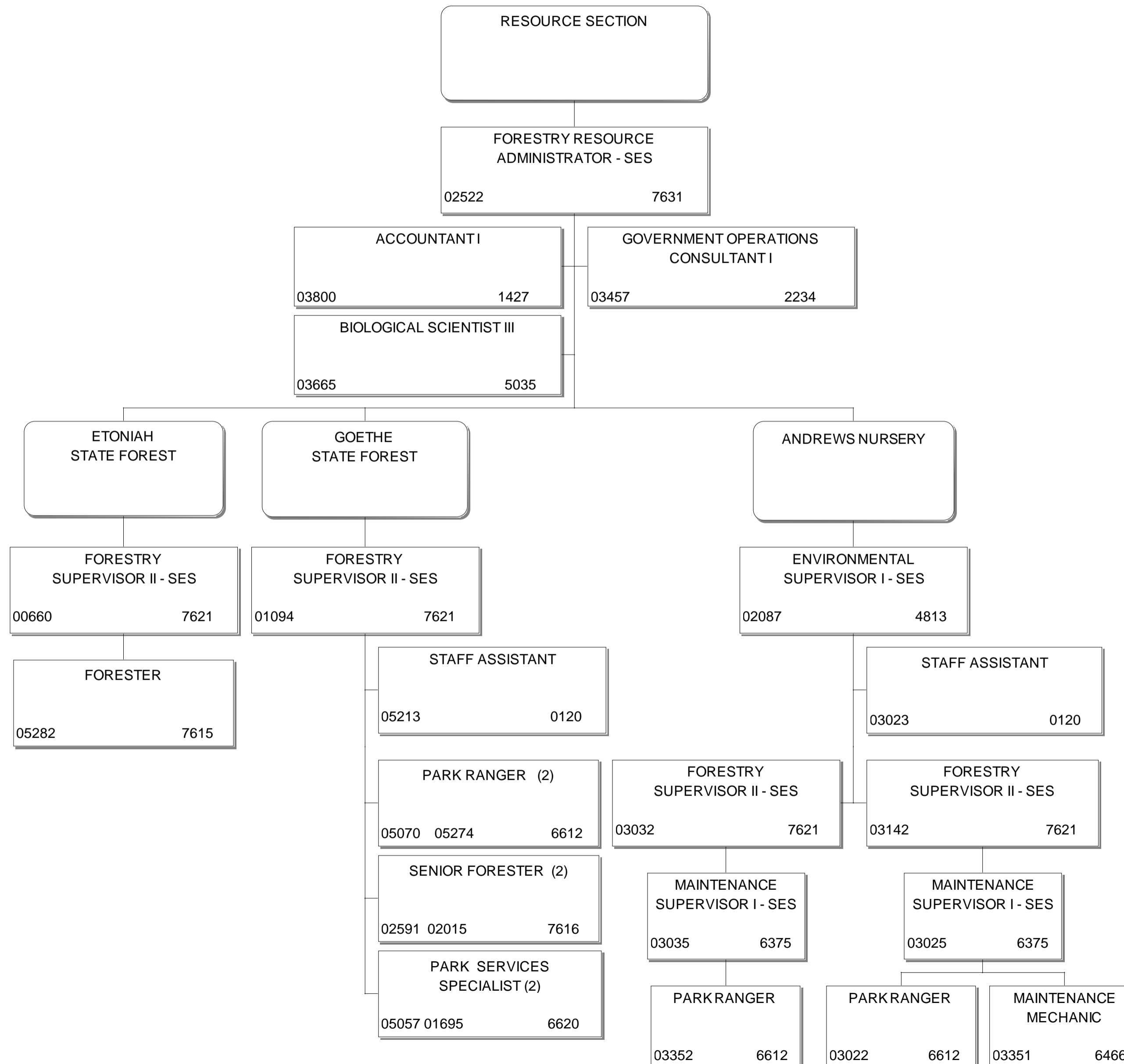
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
WACCASASSA FORESTRY CENTER  
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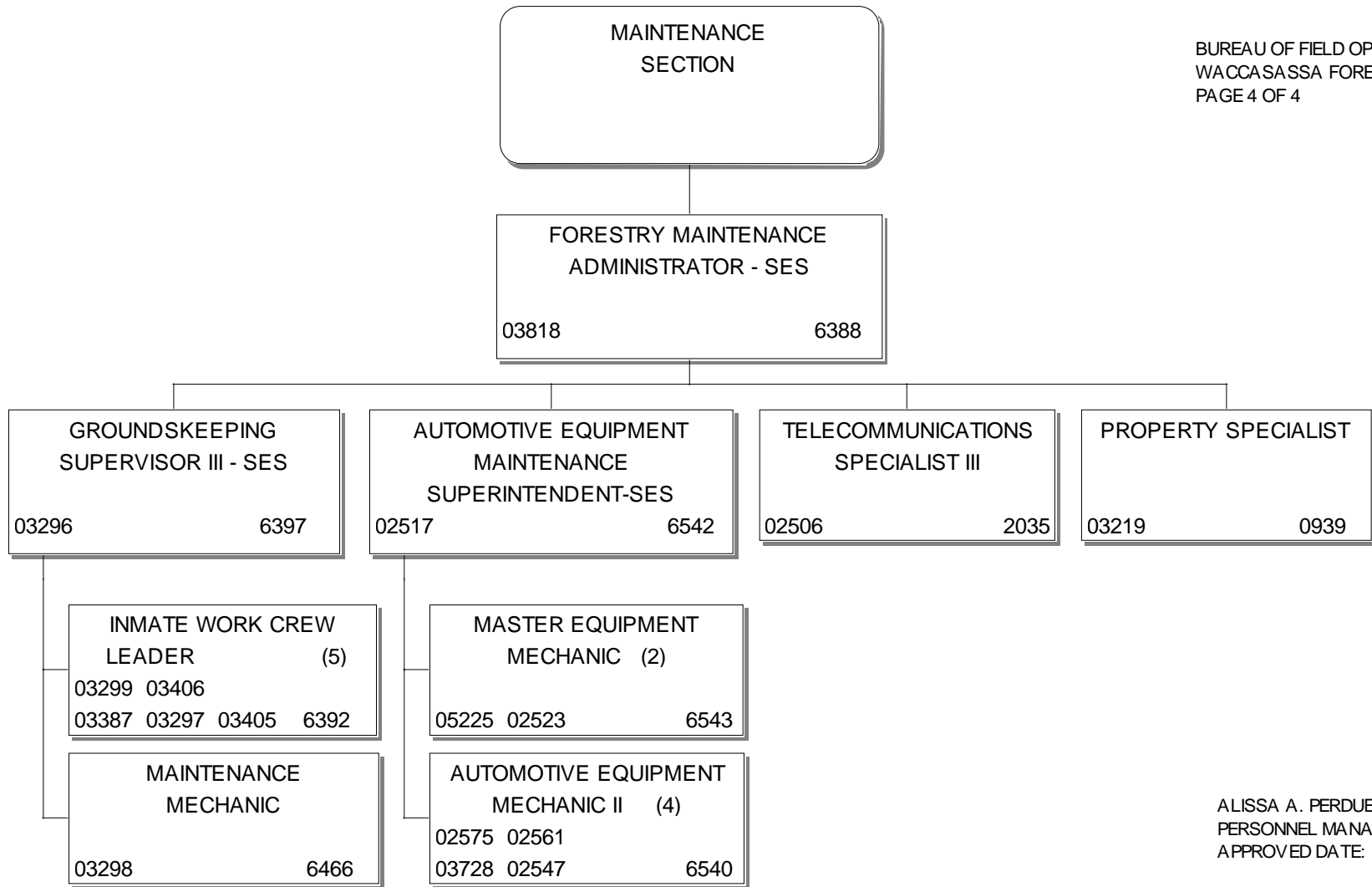


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 7/18/2014



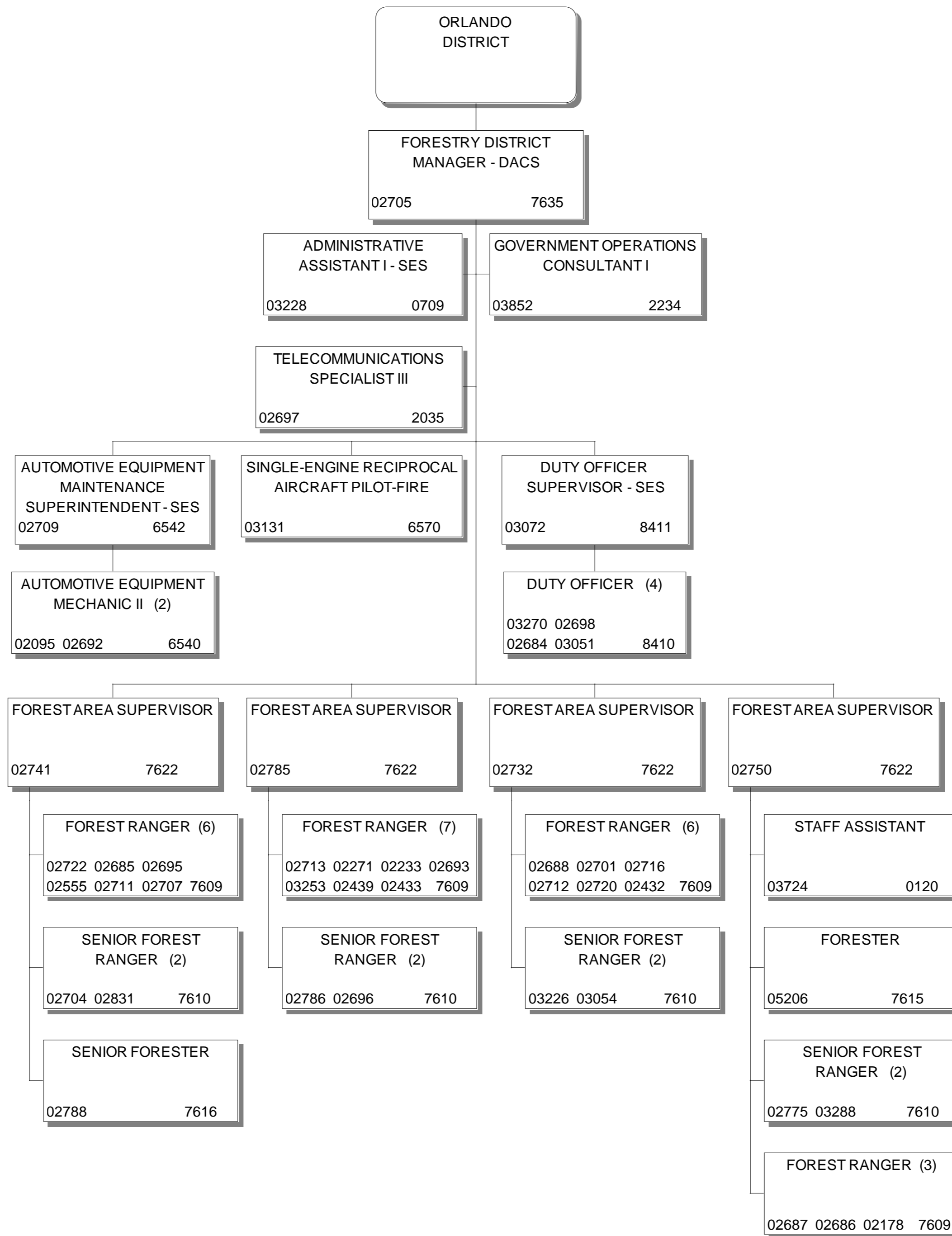
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
WACCASSA FORESTRY CENTER  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 9/26/2014

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

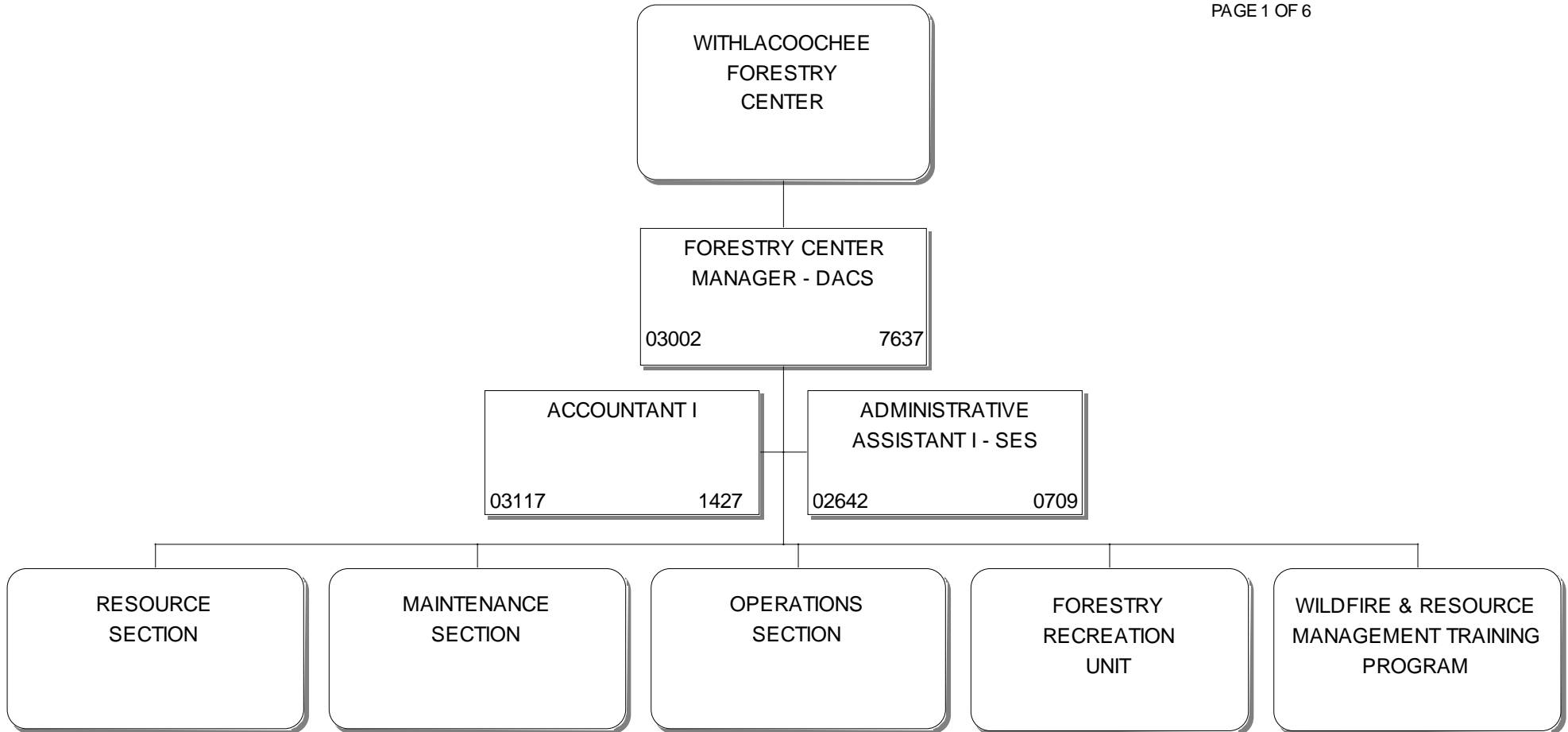


BUREAU OF FIELD OPERATIONS  
ORLANDO DISTRICT  
PAGE 1 OF 1

ALISSA A. PERDUE, CHIEF OF PERSONNEL MANAGEMENT  
APPROVED DATE: 08/29/2014

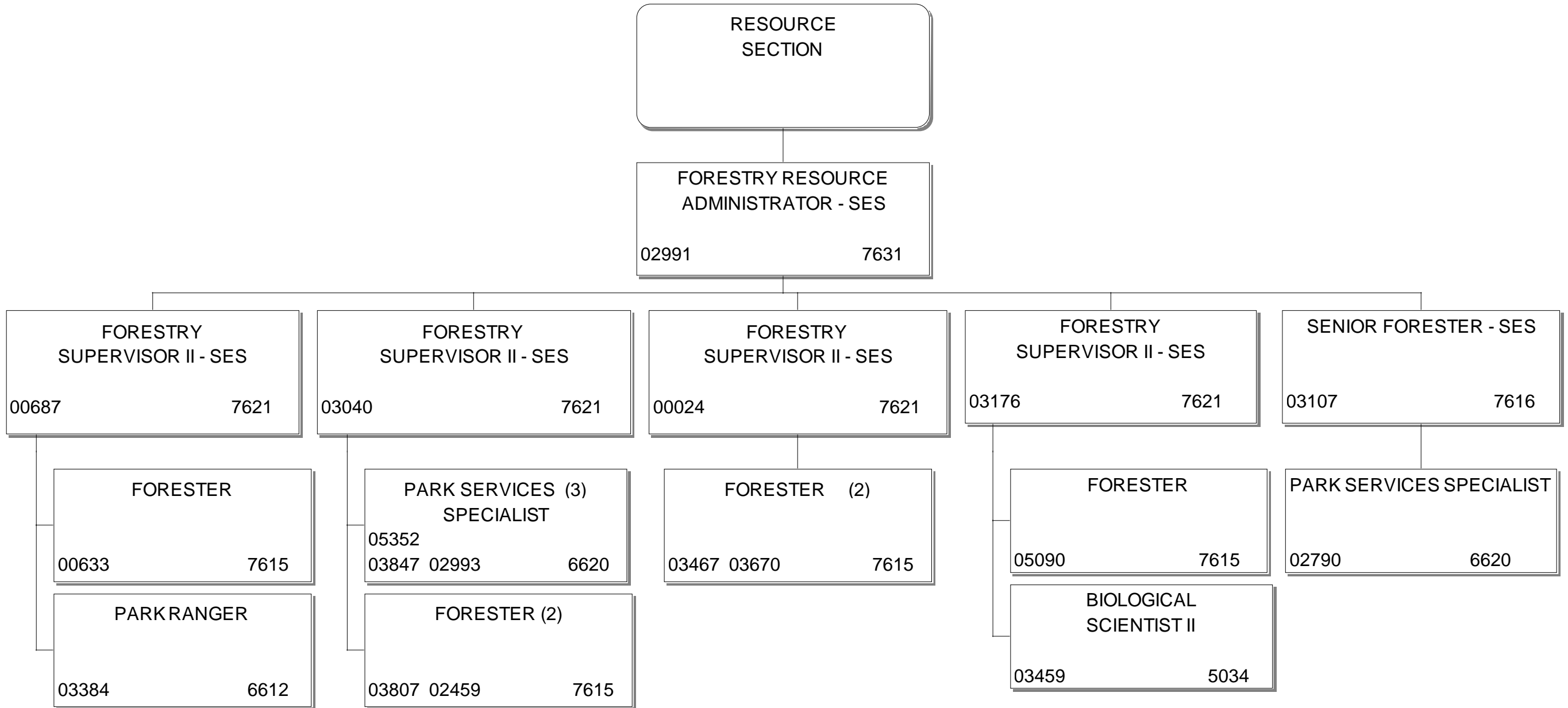
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
WITHLACOOCHEE FORESTRY CENTER  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

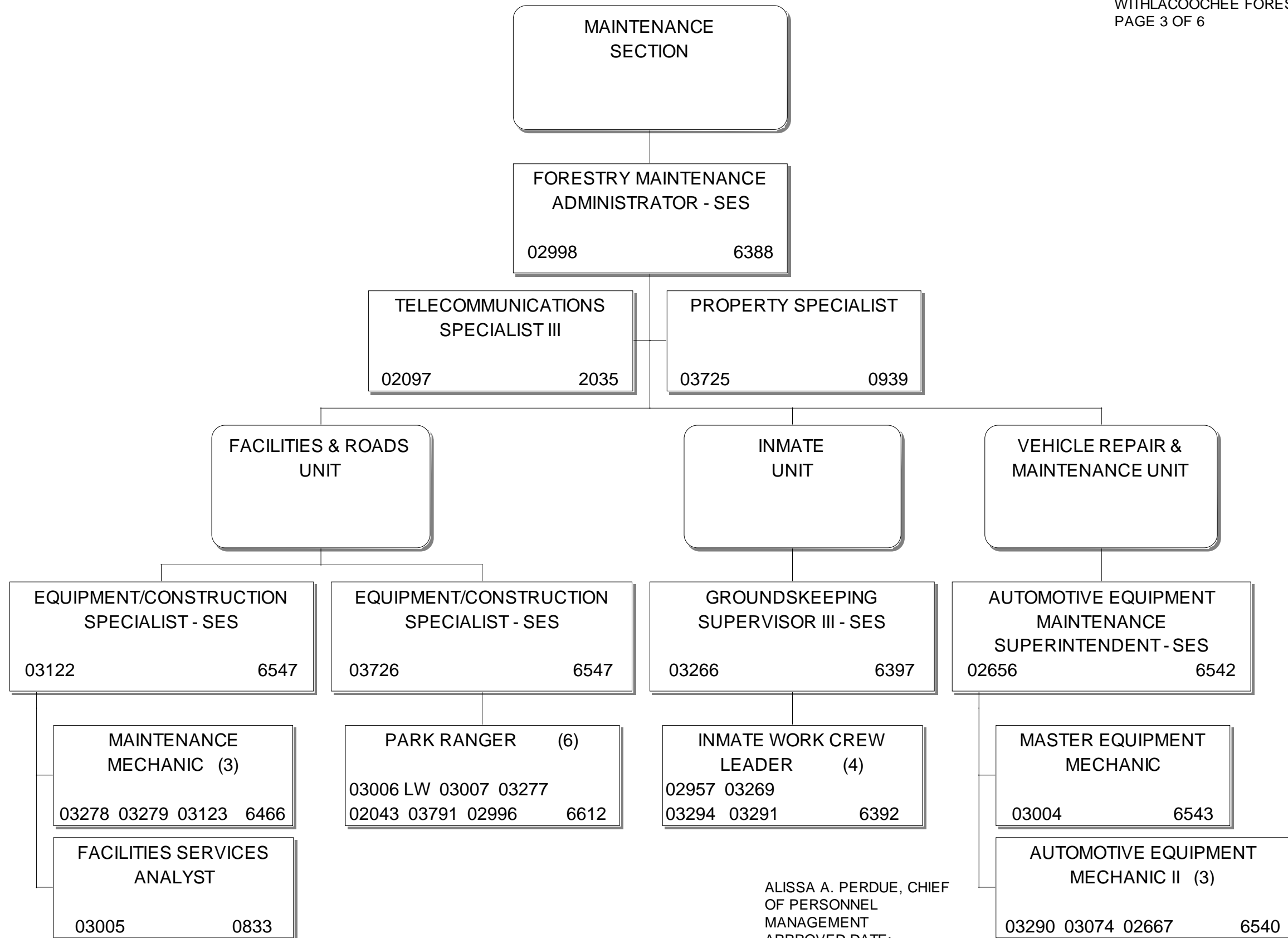
BUREAU OF FIELD OPERATIONS  
WITHLACOOCHEE FORESTRY CENTER  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 9/23/2016

# DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES FLORIDA FOREST SERVICE

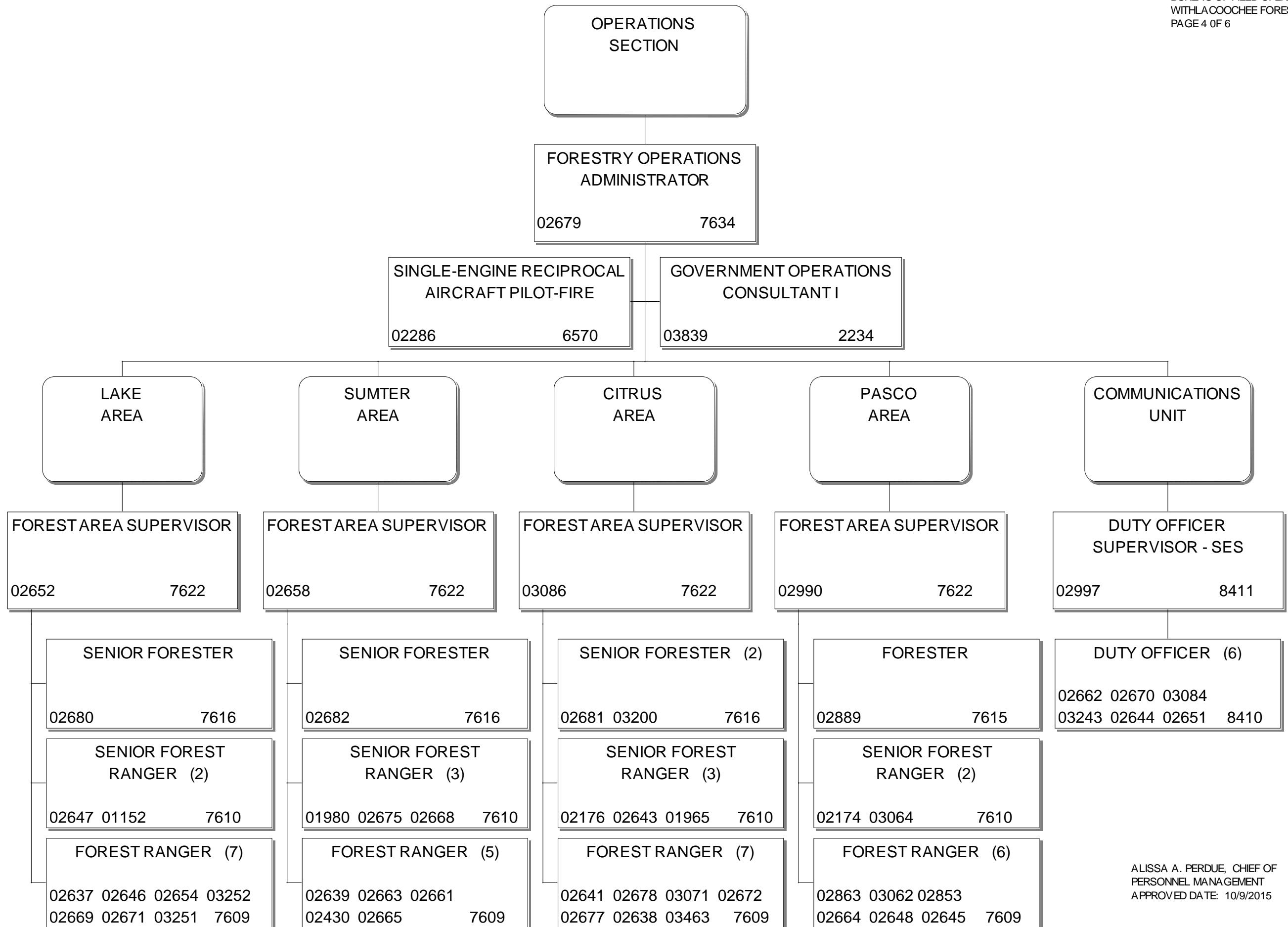
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WITHLACOOCHEE FORESTRY CENTER  
PAGE 3 OF 6



ALISSA A. PERDUE, CHIEF  
OF PERSONNEL  
MANAGEMENT  
APPROVED DATE:  
12/16/2016

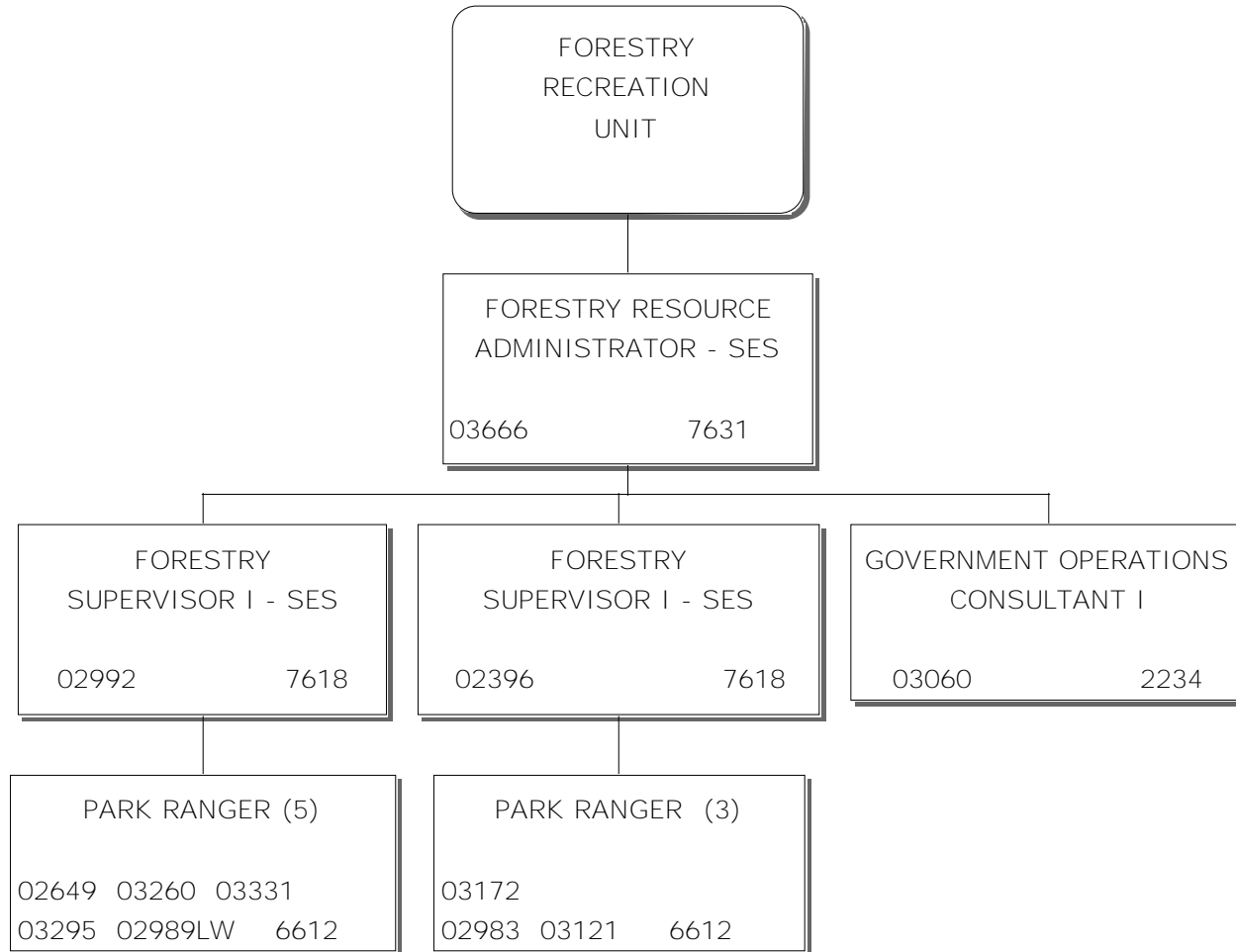
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
WITH LA COOCHEE FORESTRY CENTER  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

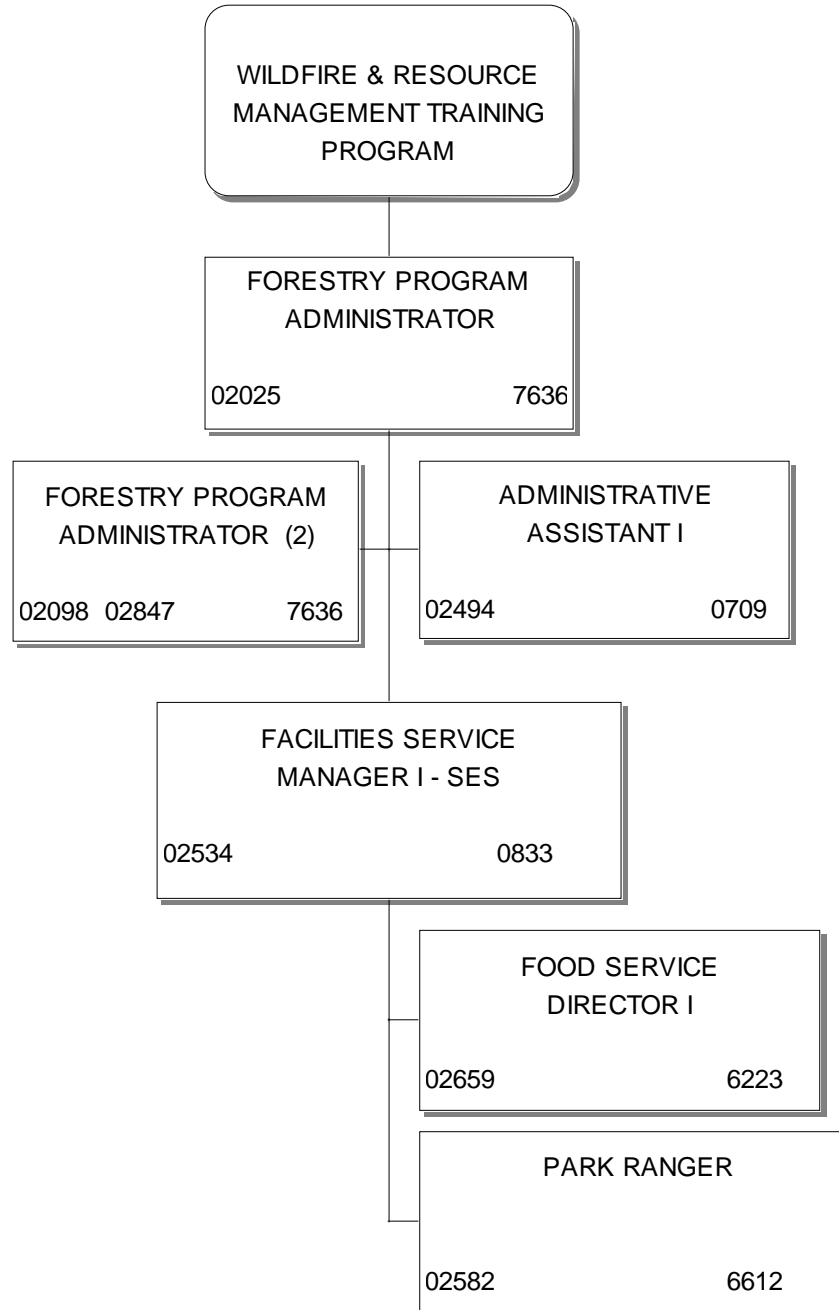
BUREAU OF FIELD OPERATIONS  
WITHLACOOCHEE FORESTRY CENTER  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 6/22/2012

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
WITHLA COOCHEE FORESTRY CENTER  
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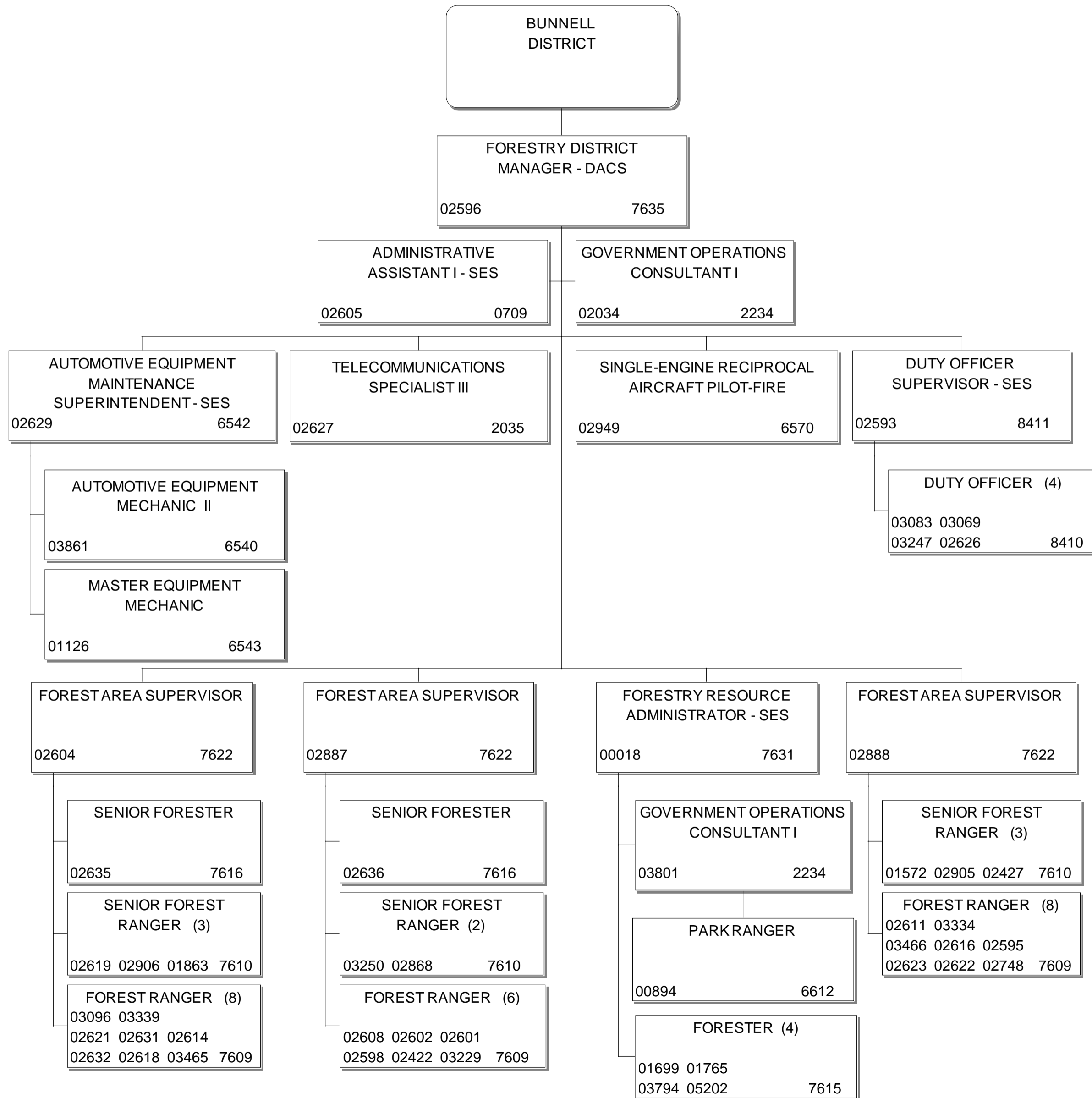


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 6/30/2017



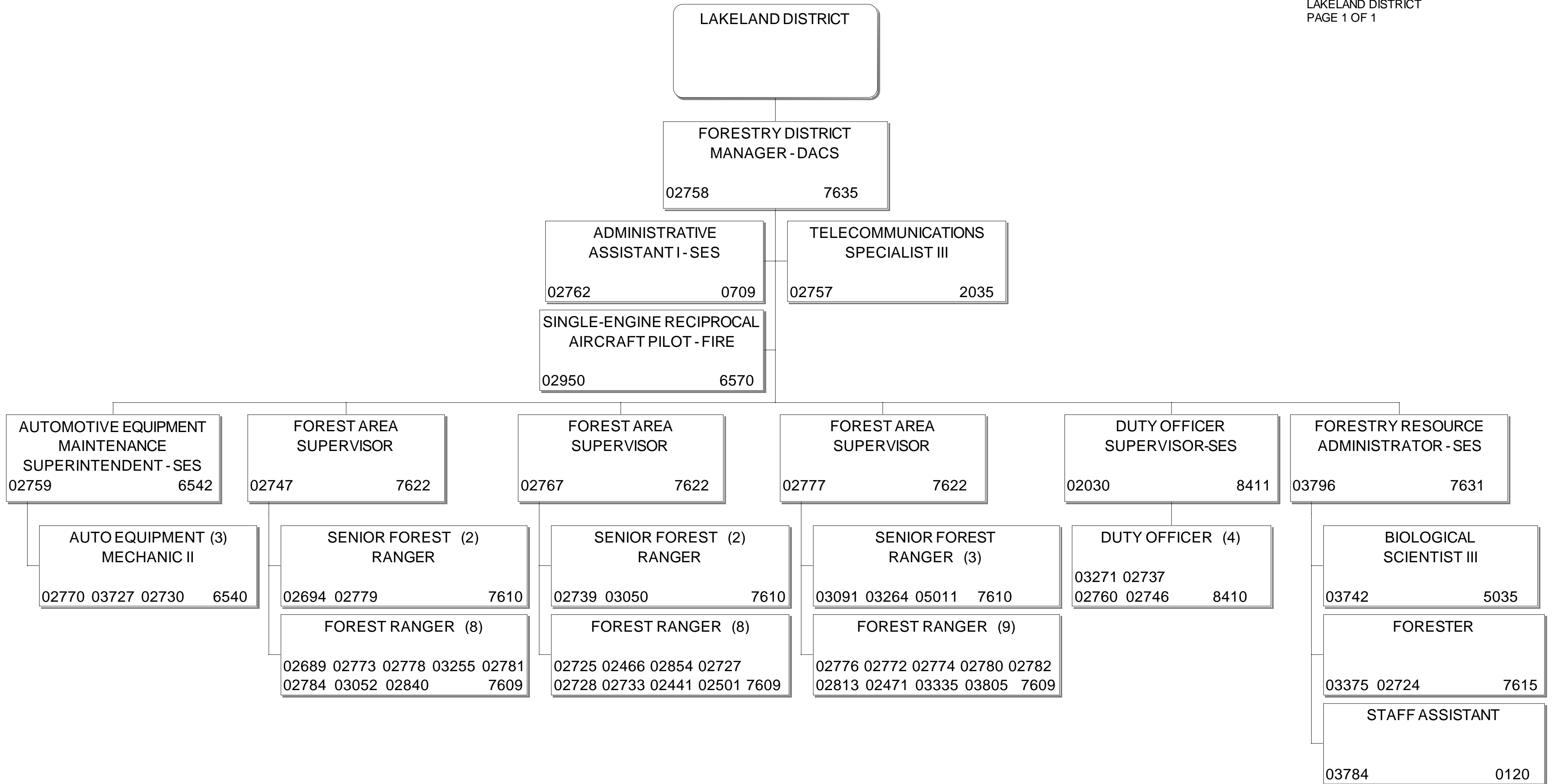
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
BUNNELL DISTRICT  
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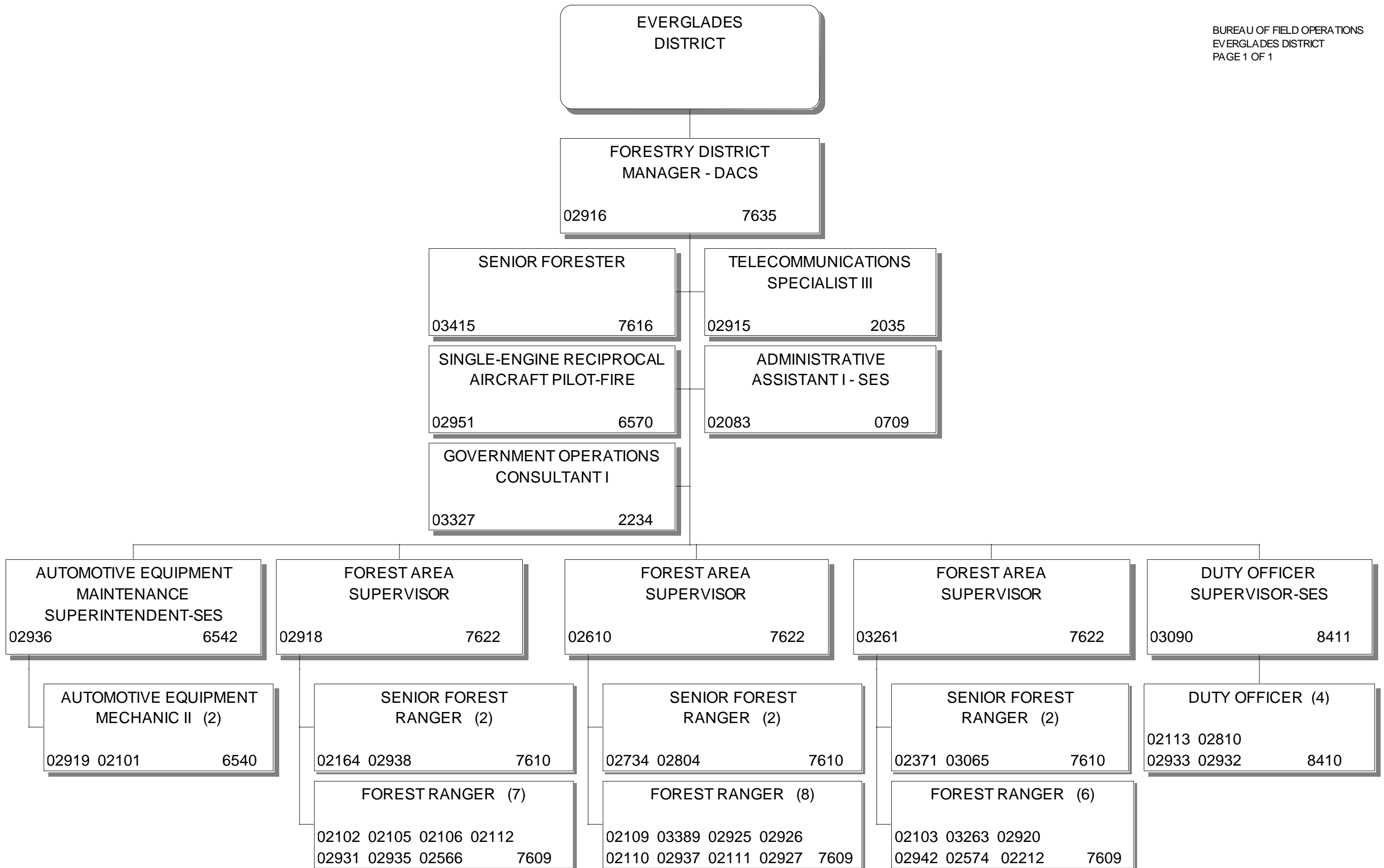
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
LAKELAND DISTRICT  
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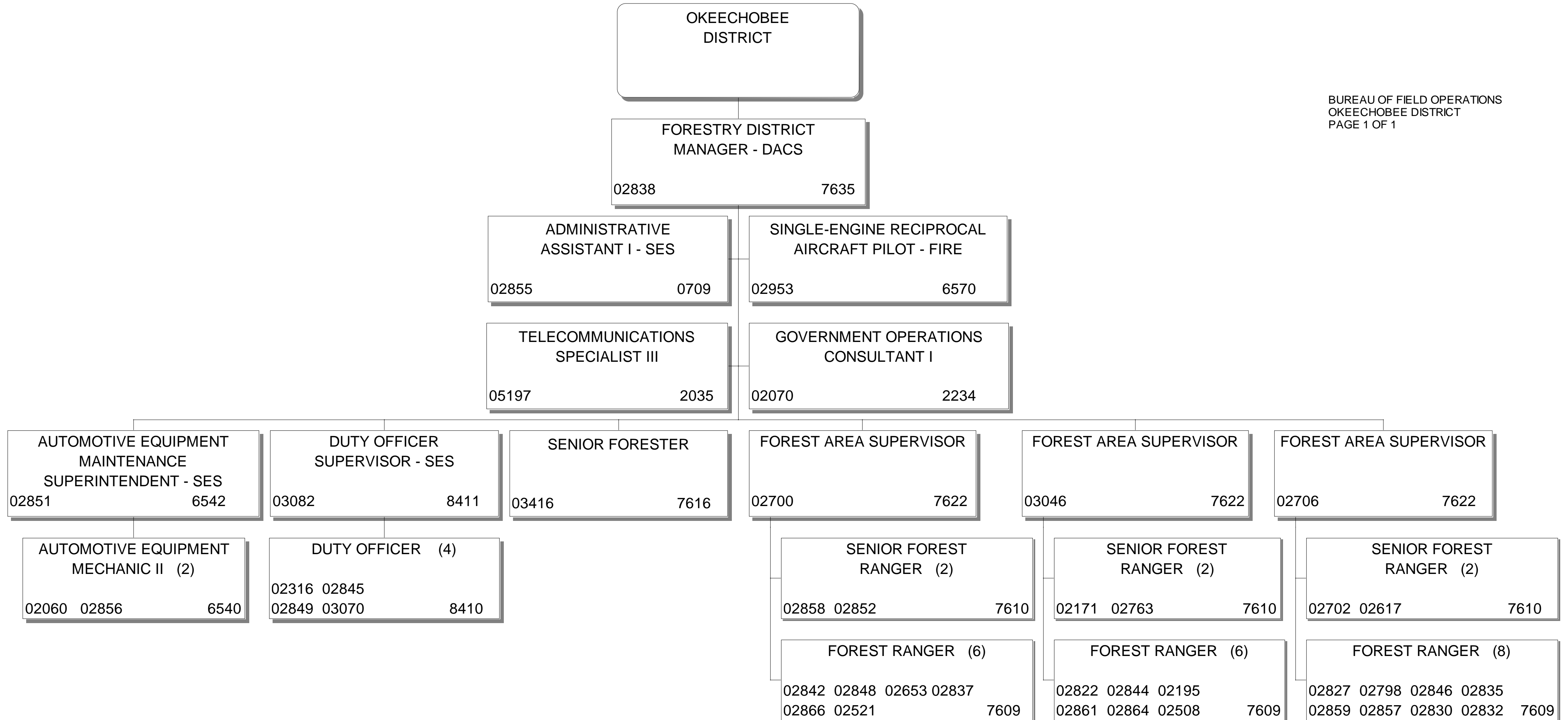
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
EVERGLADES DISTRICT  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

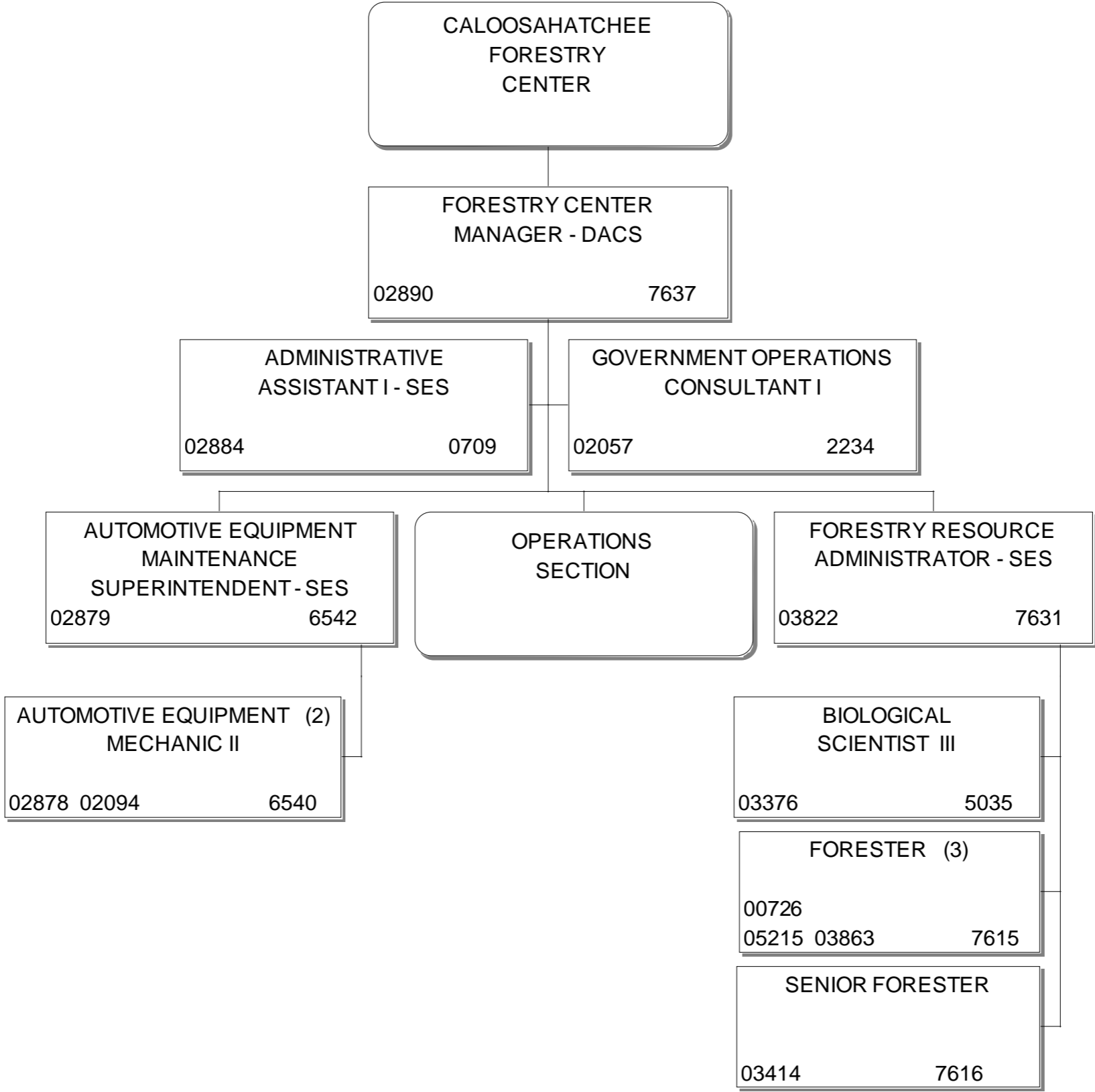
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PAGE 1 OF 1



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 3/27/2015

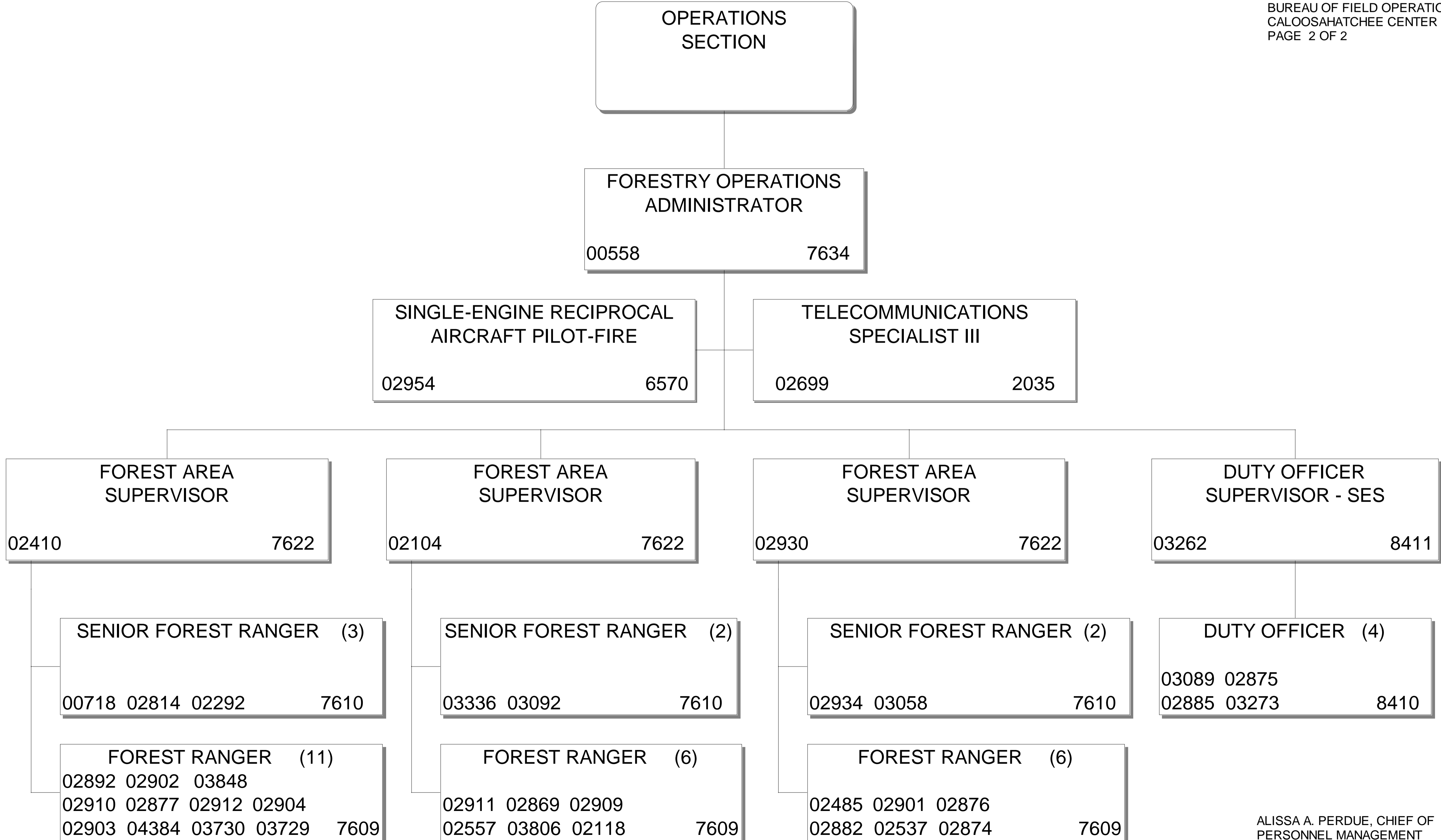
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AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
CALOOSAHATCHEE CENTER  
PAGE 1 OF 2

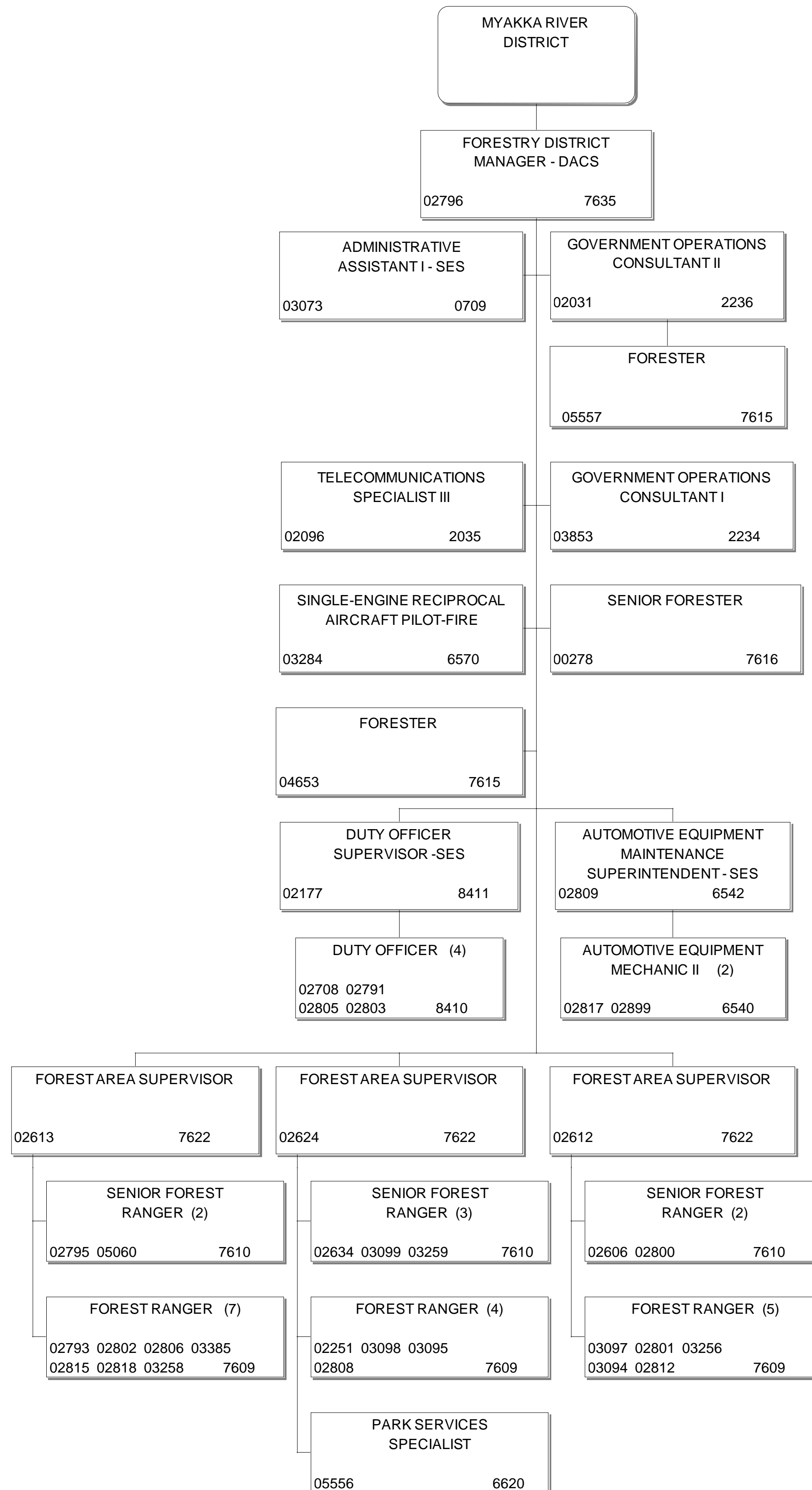


**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**

BUREAU OF FIELD OPERATIONS  
CALOOSAHATCHEE CENTER  
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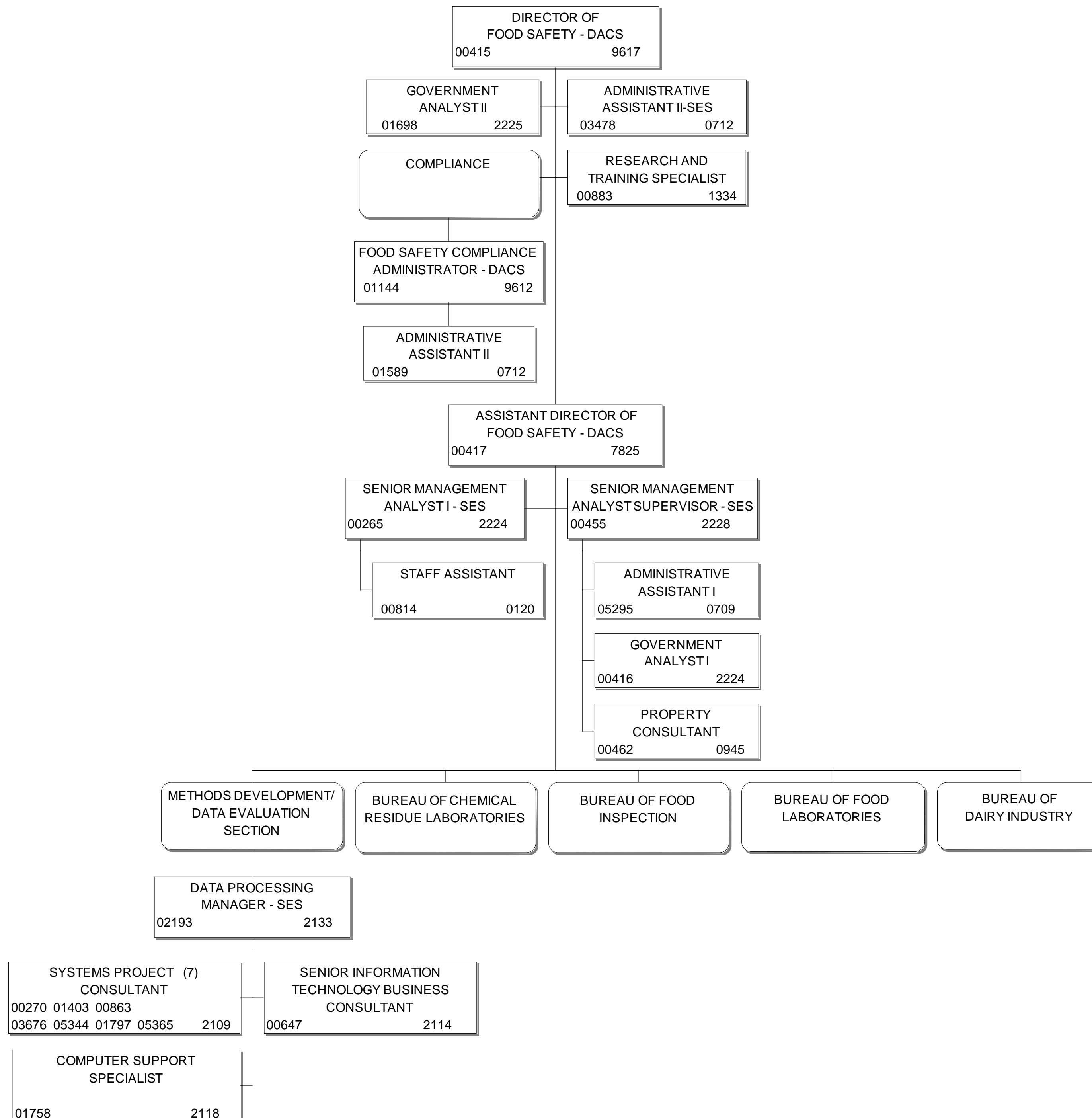


**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
FLORIDA FOREST SERVICE**



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FOOD SAFETY**

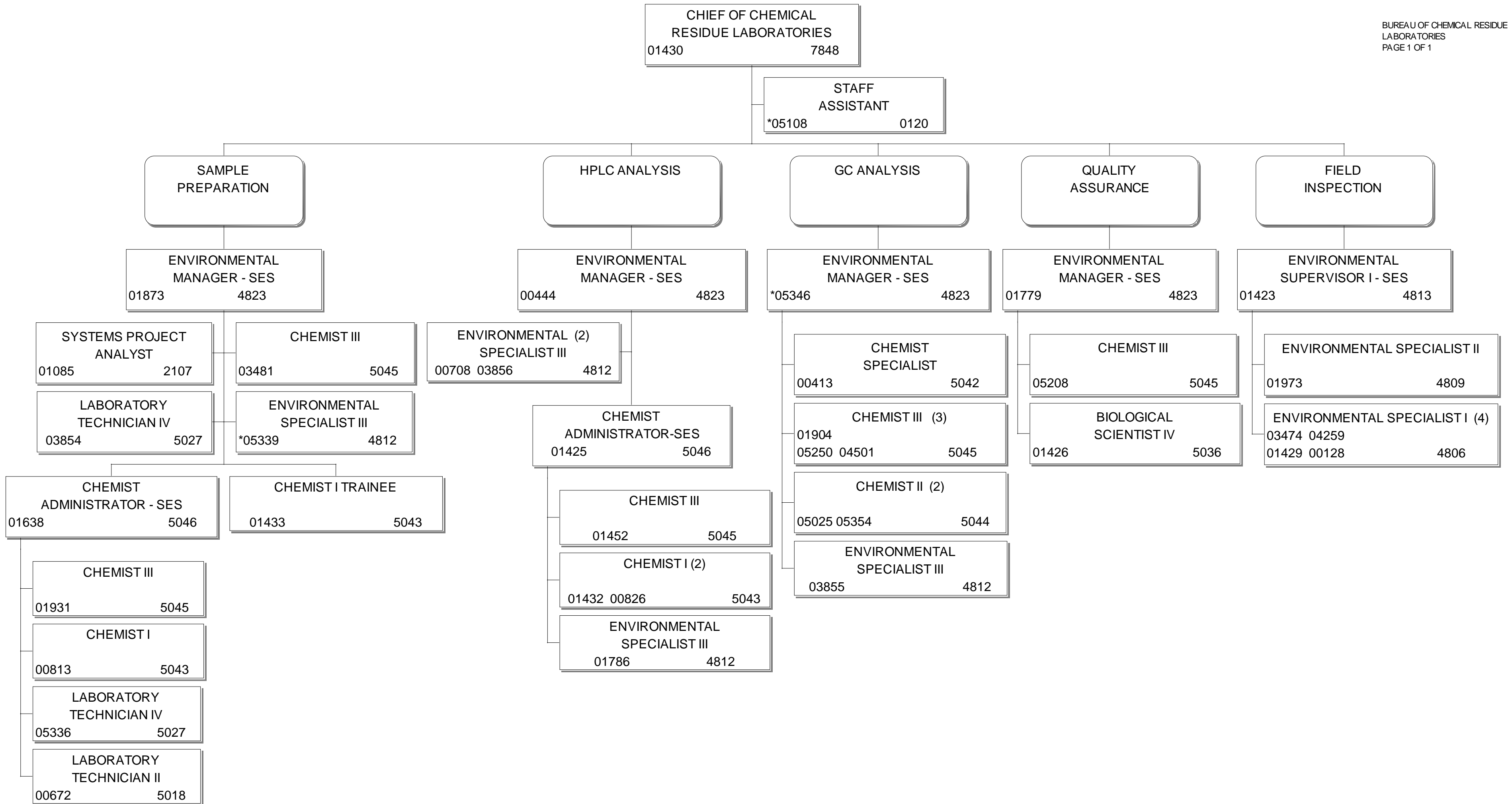
DIVISION F.T.E. 300  
ADMINISTRATIVE  
PAGE 1 OF 1



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 5/5/2017

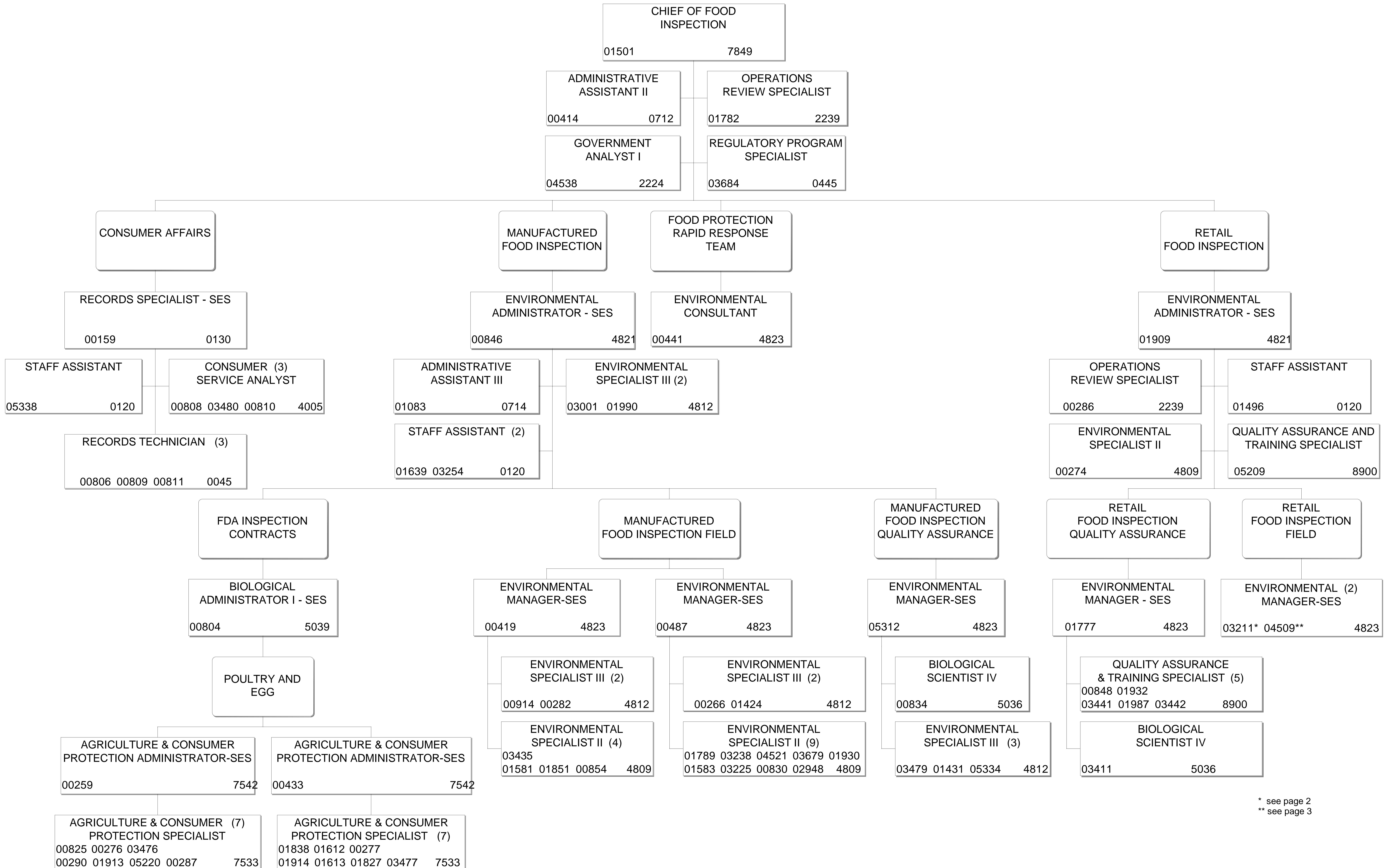


# DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES DIVISION OF FOOD SAFETY



\*USDA Funded Position

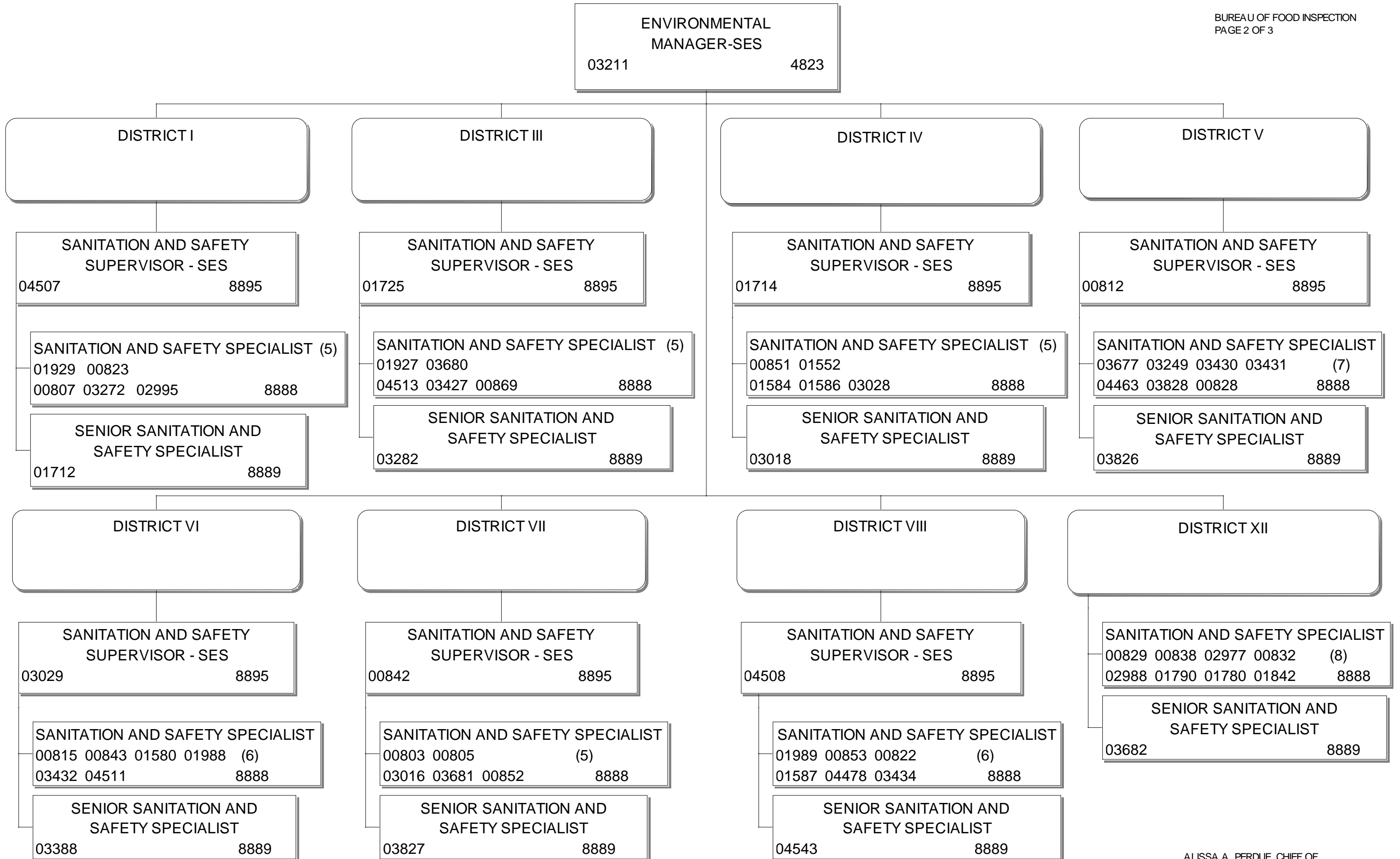
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FOOD SAFETY**



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\*\* see page 3

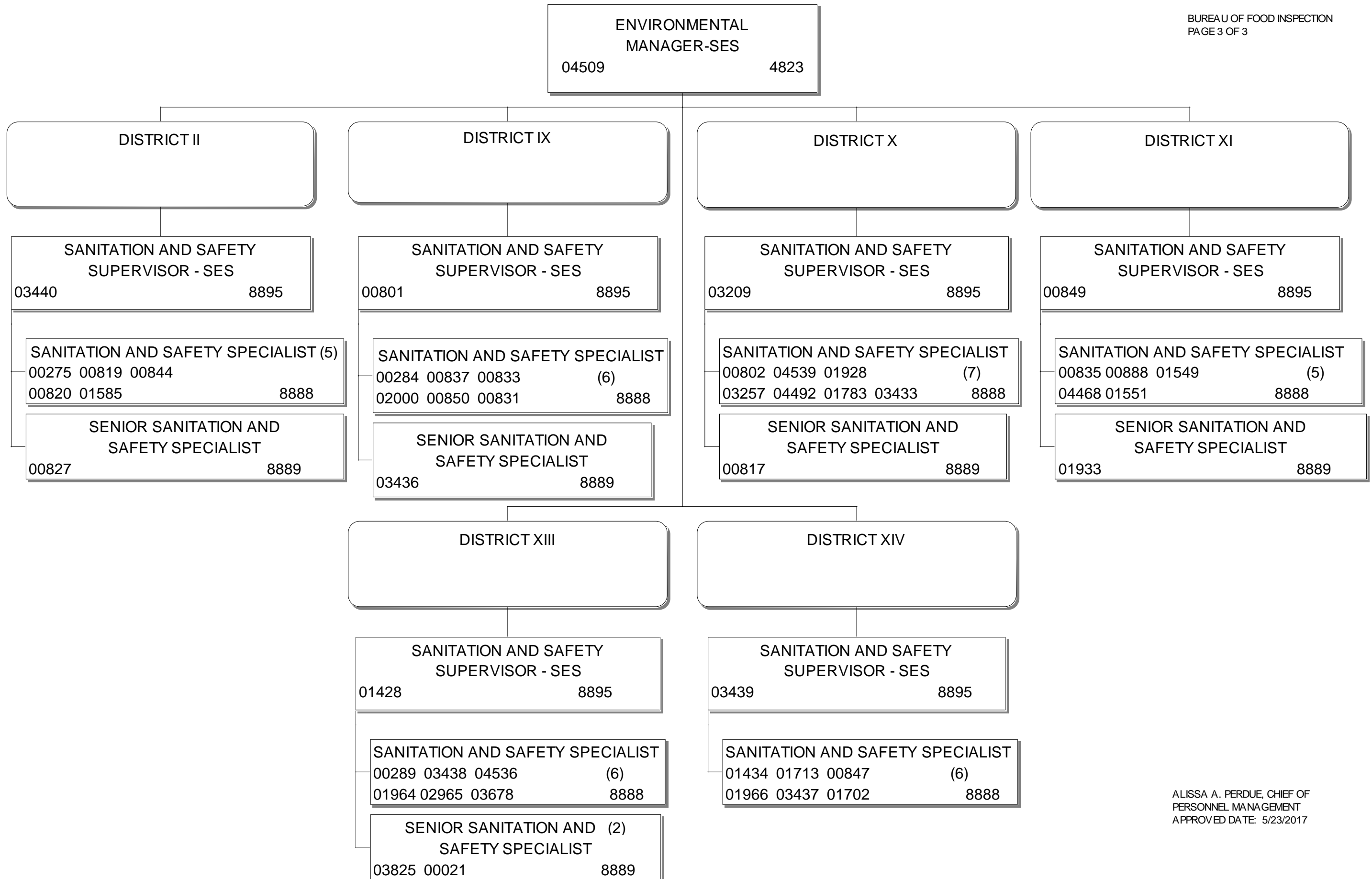
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FOOD SAFETY**

BUREAU OF FOOD INSPECTION  
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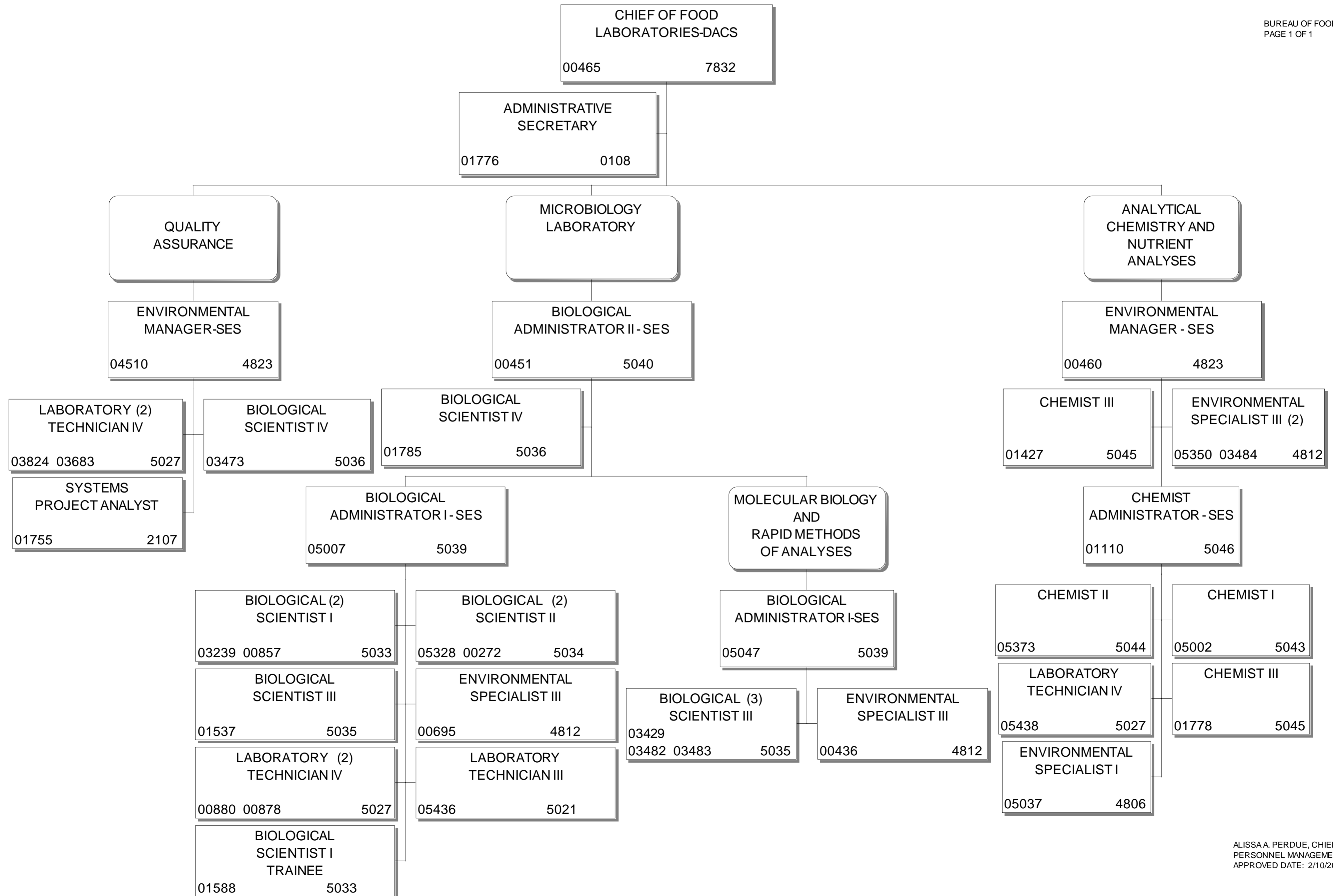


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 5/23/2017

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FOOD SAFETY**

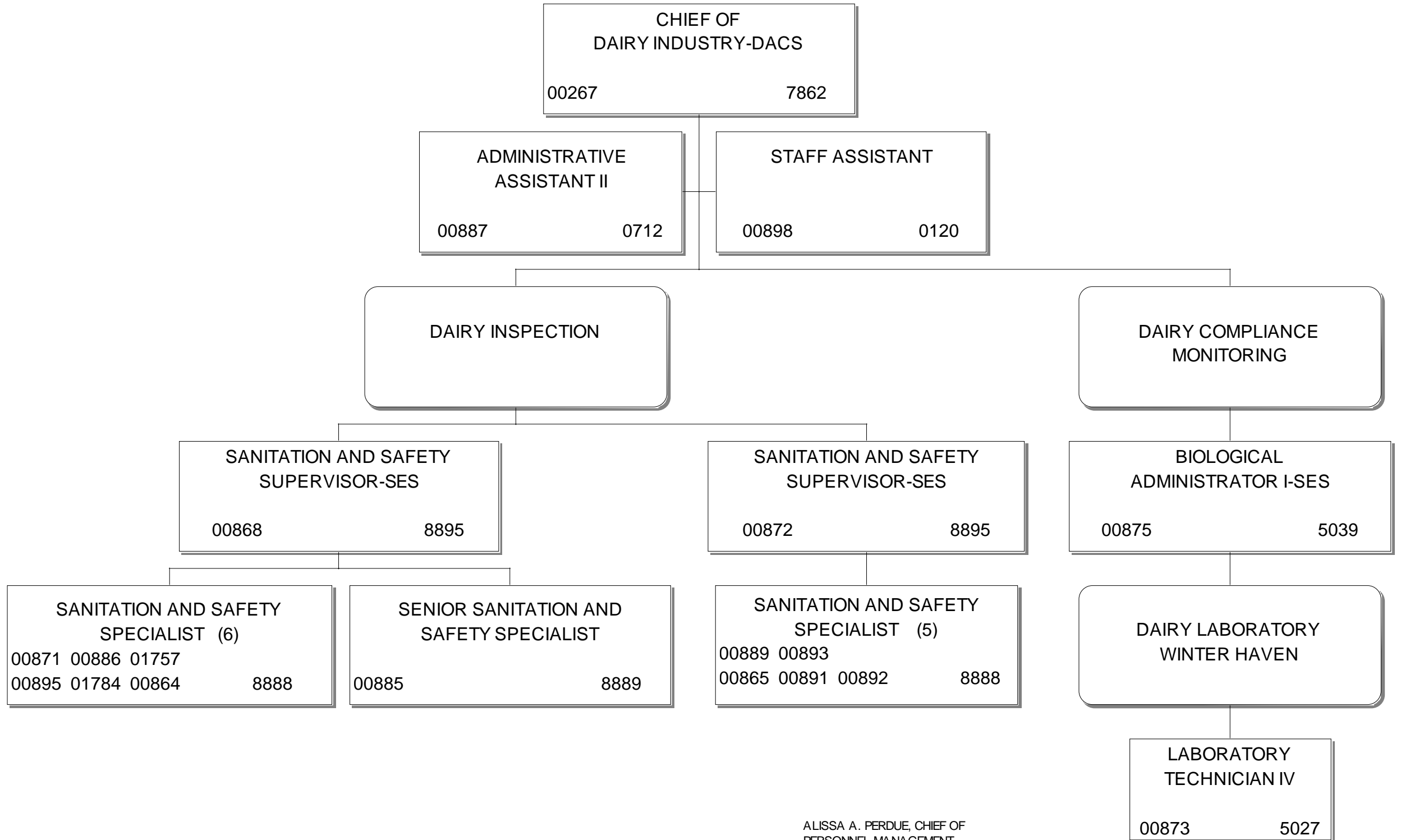


**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FOOD SAFETY**



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FOOD SAFETY**

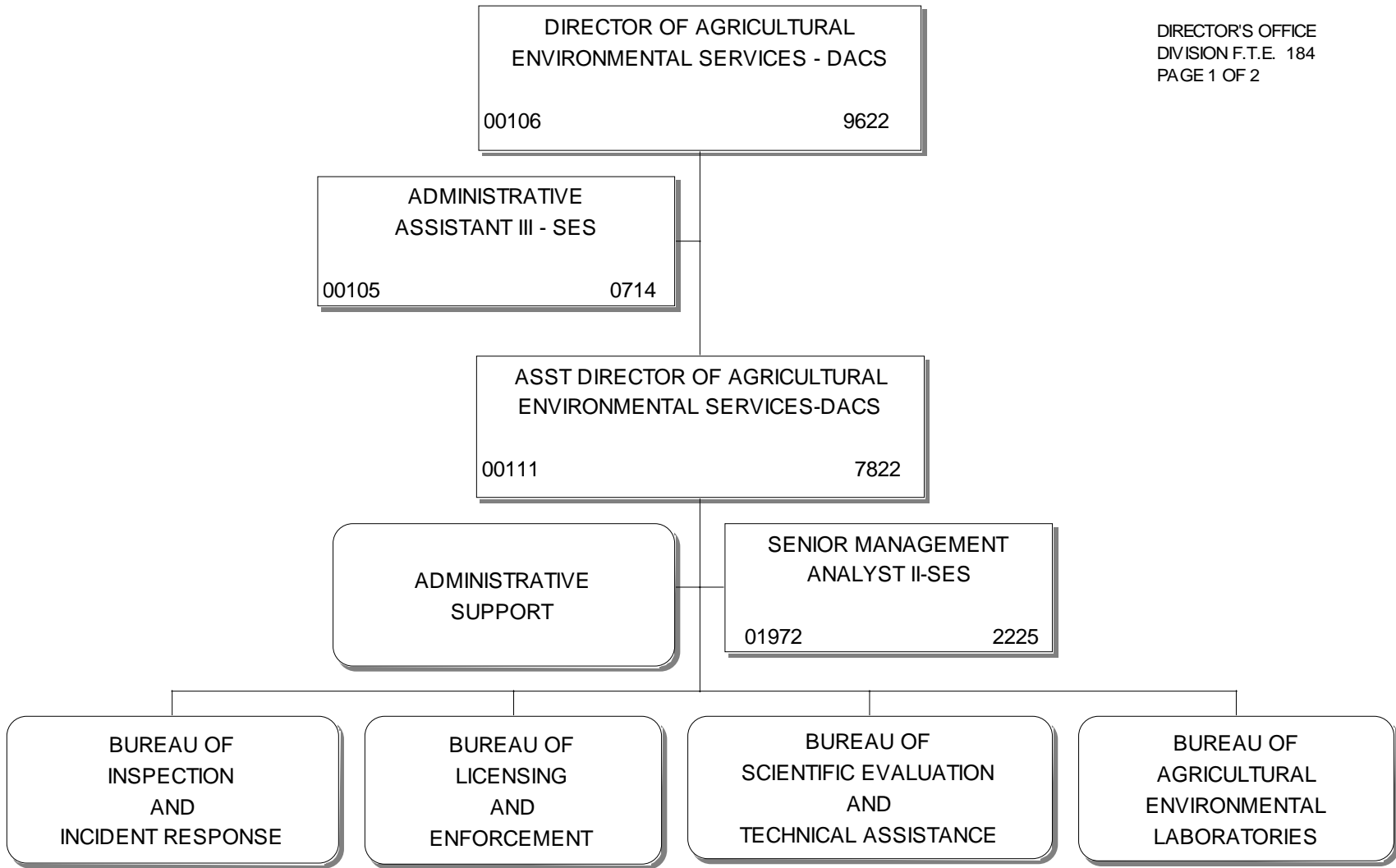
BUREAU OF DAIRY INDUSTRY  
PAGE 1 OF 1



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 2/10/2017

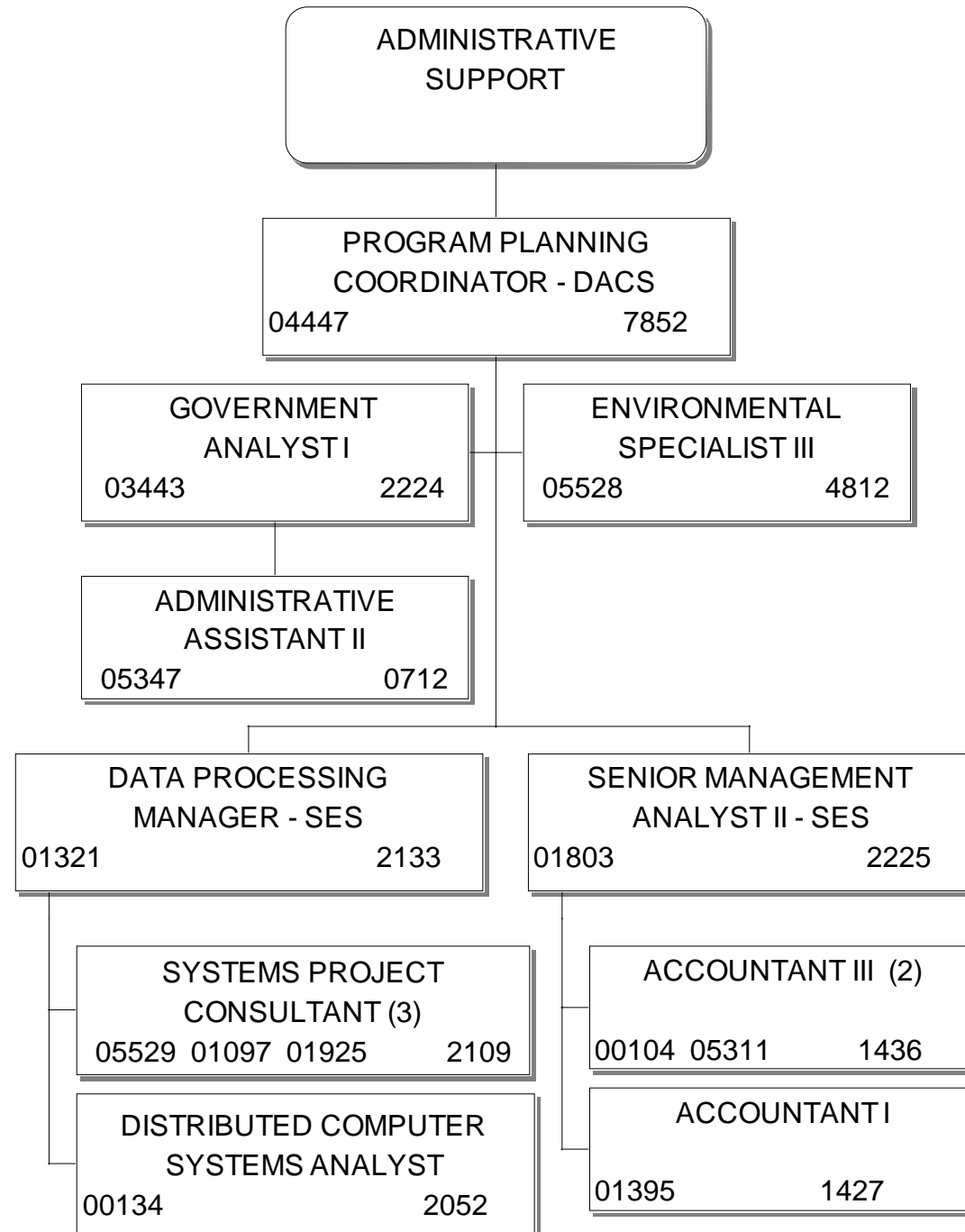
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES - DIVISION OF  
AGRICULTURAL ENVIRONMENTAL SERVICES**

DIRECTOR'S OFFICE  
DIVISION F.T.E. 184  
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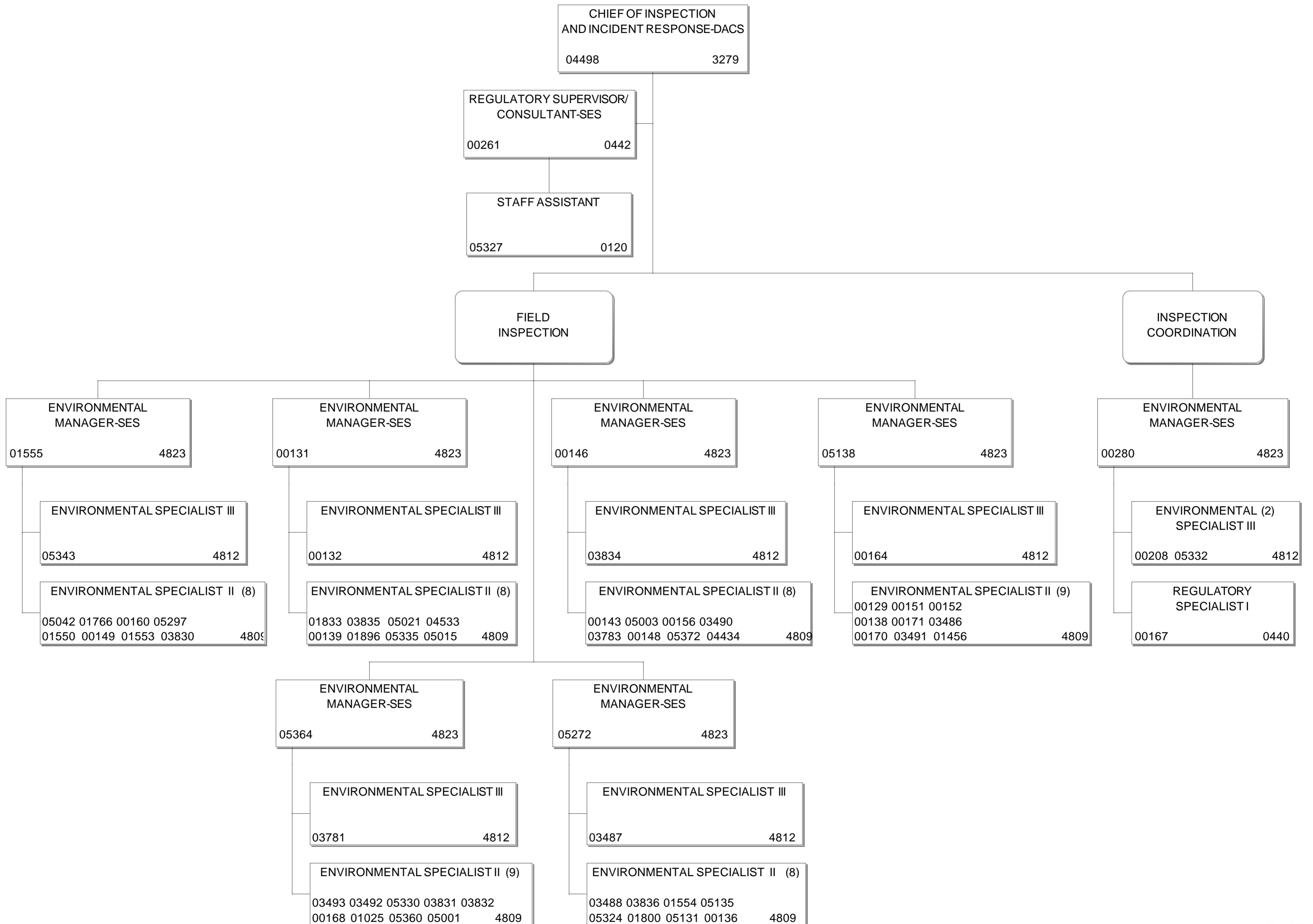
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES - DIVISION OF  
AGRICULTURAL ENVIRONMENTAL SERVICES**

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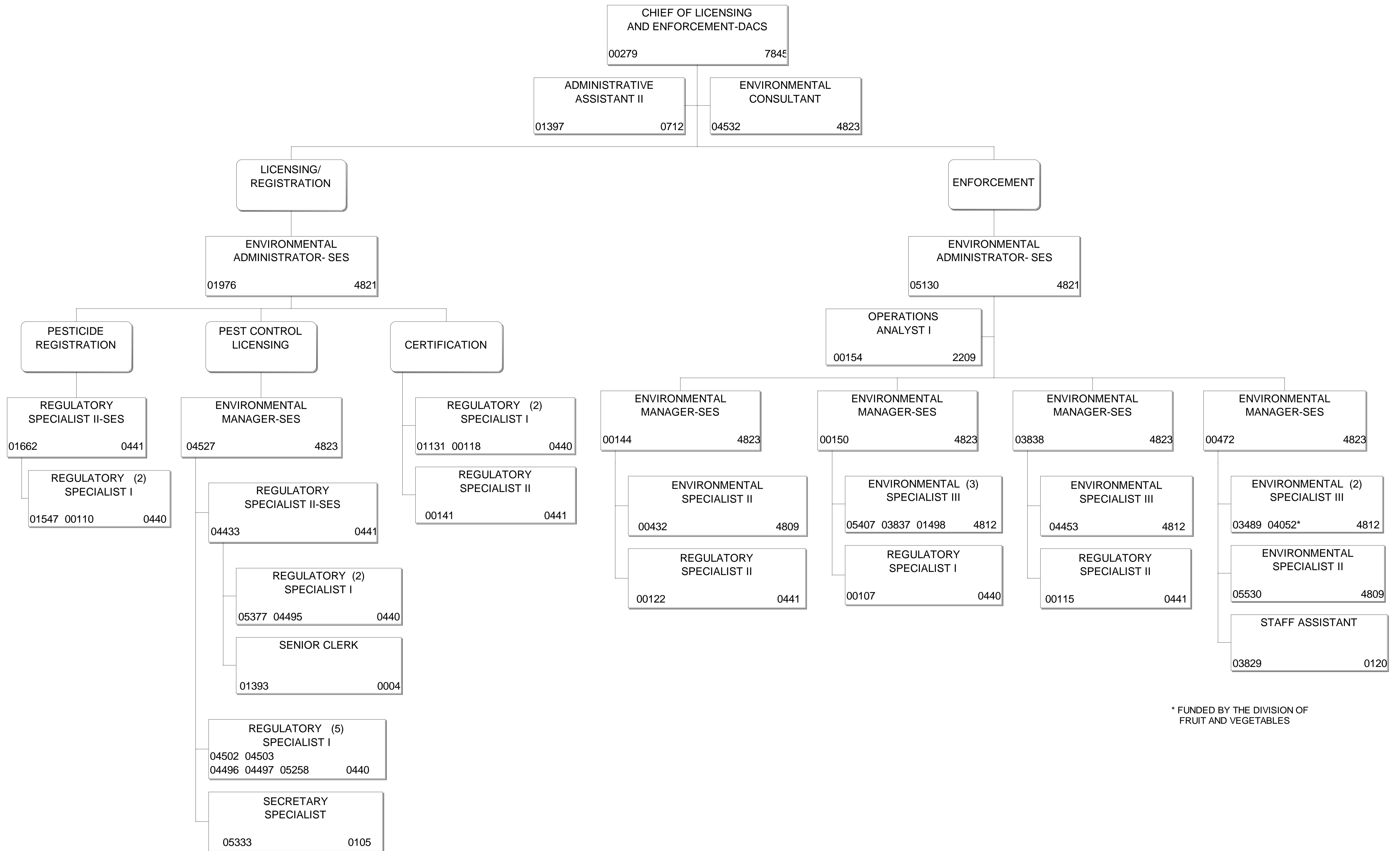




**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES - DIVISION OF  
AGRICULTURAL ENVIRONMENTAL SERVICES**



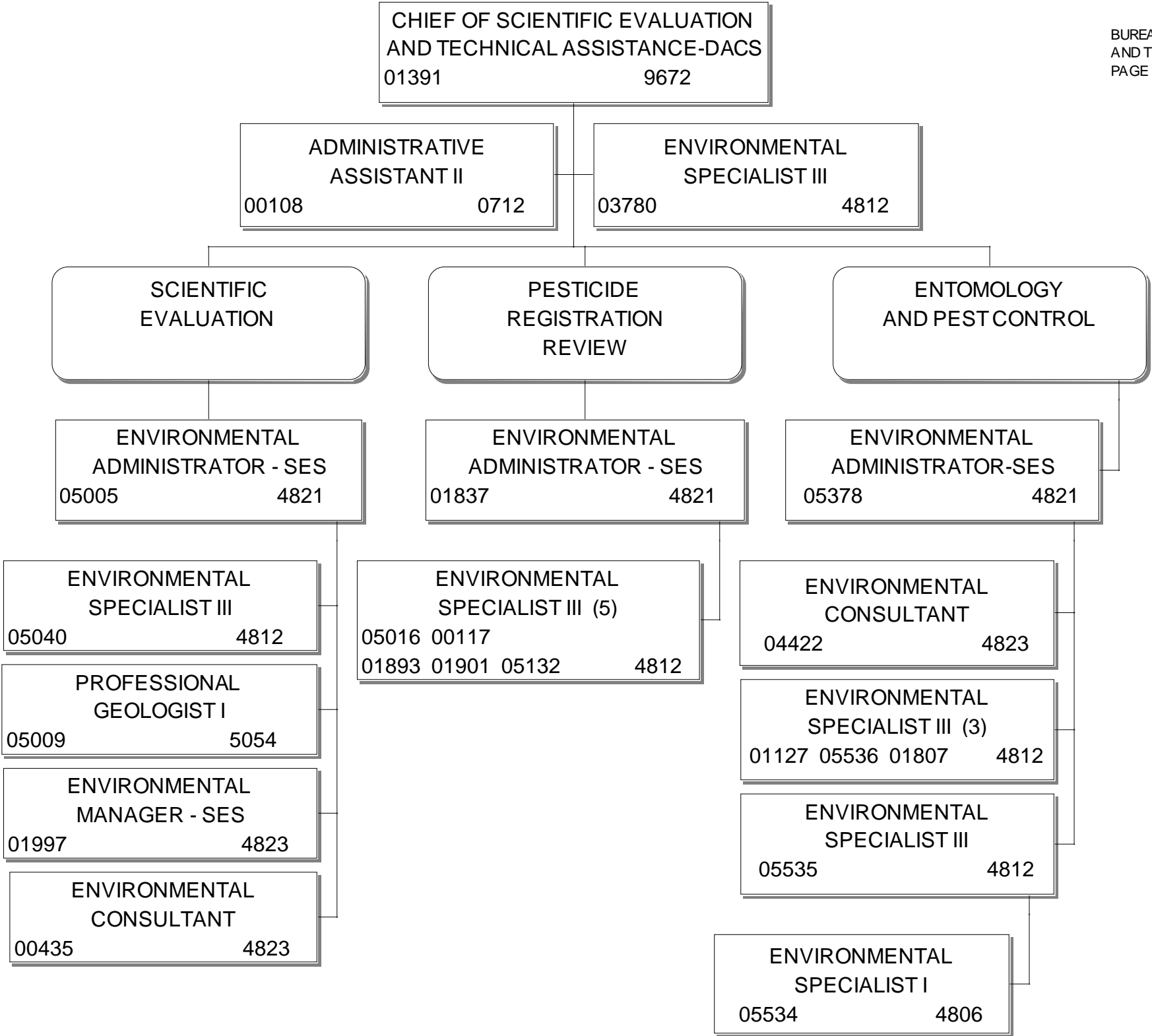
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES - DIVISION OF  
AGRICULTURAL ENVIRONMENTAL SERVICES**



\* FUNDED BY THE DIVISION OF  
FRUIT AND VEGETABLES

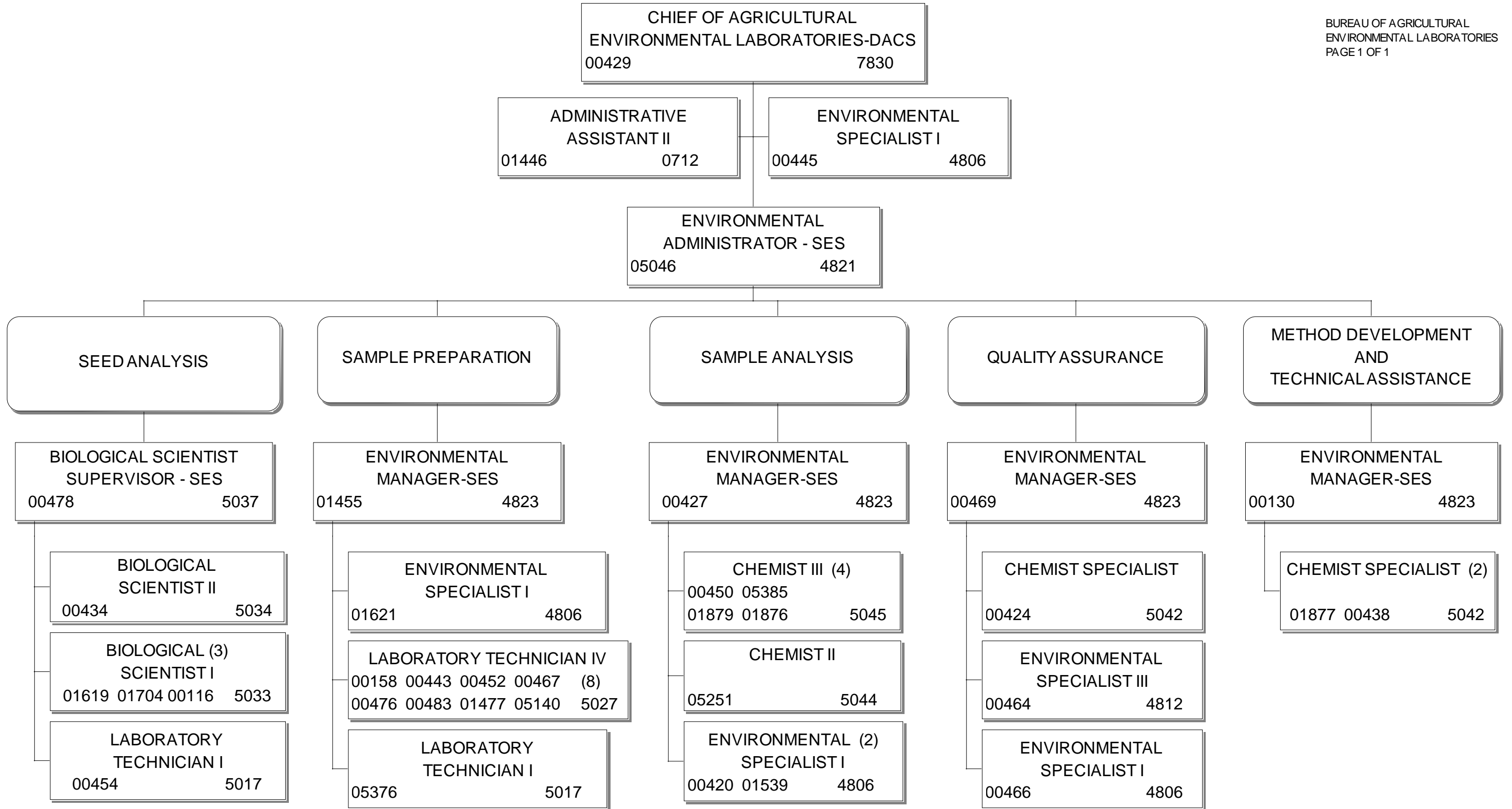
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES - DIVISION OF  
AGRICULTURAL ENVIRONMENTAL SERVICES**

BUREAU OF SCIENTIFIC EVALUATION  
AND TECHNICAL ASSISTANCE  
PAGE 1 OF 1



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

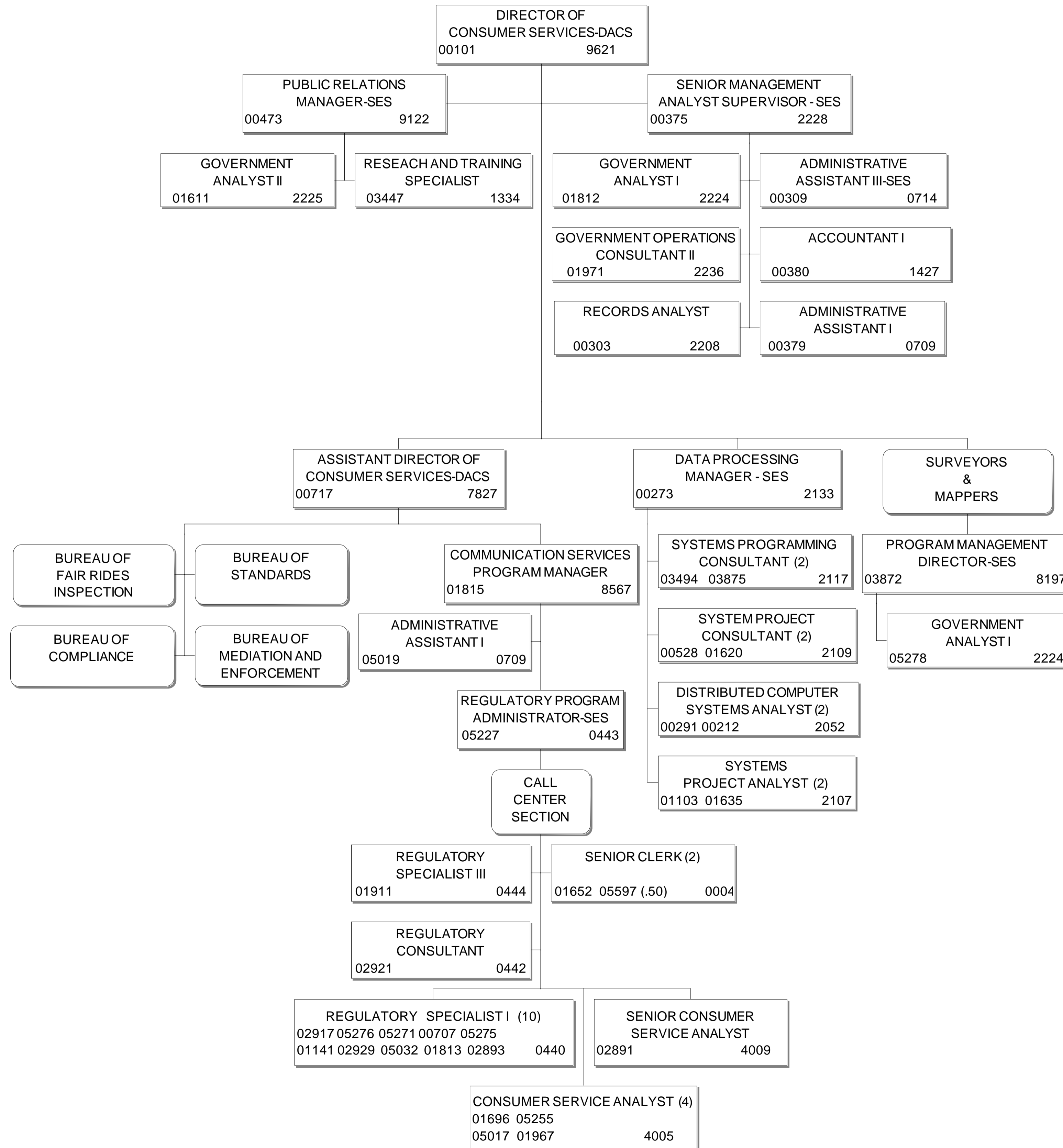
BUREAU OF AGRICULTURAL  
ENVIRONMENTAL LABORATORIES  
PAGE 1 OF 1



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 4/7/2017

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF CONSUMER SERVICES**

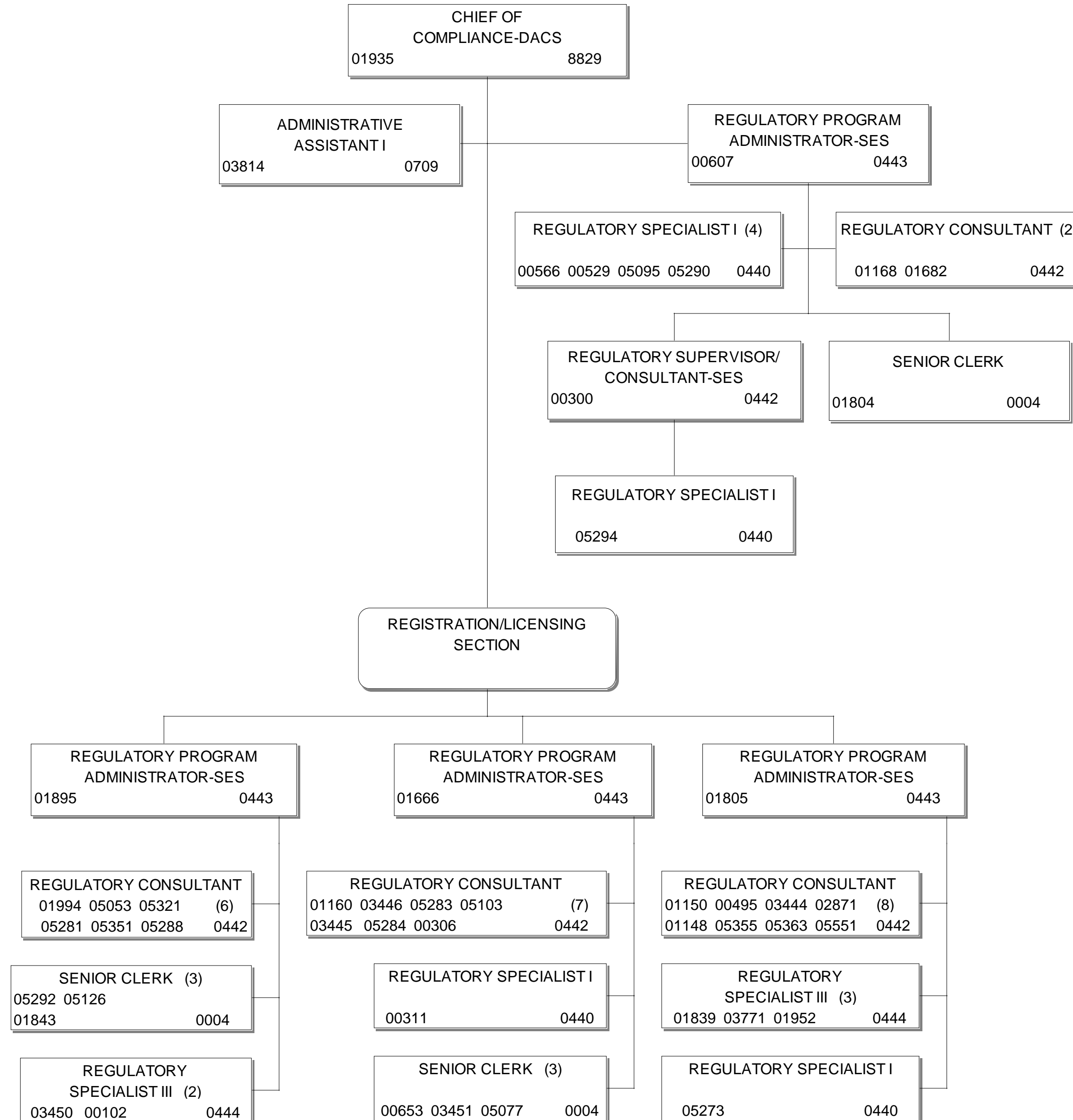
DIVISION F.T.E. 285  
DIRECTOR'S OFFICE  
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ALISSA A. PERDUE, CHIEF OF PERSONNEL MANAGEMENT  
DATE APPROVED: 3/10/2017

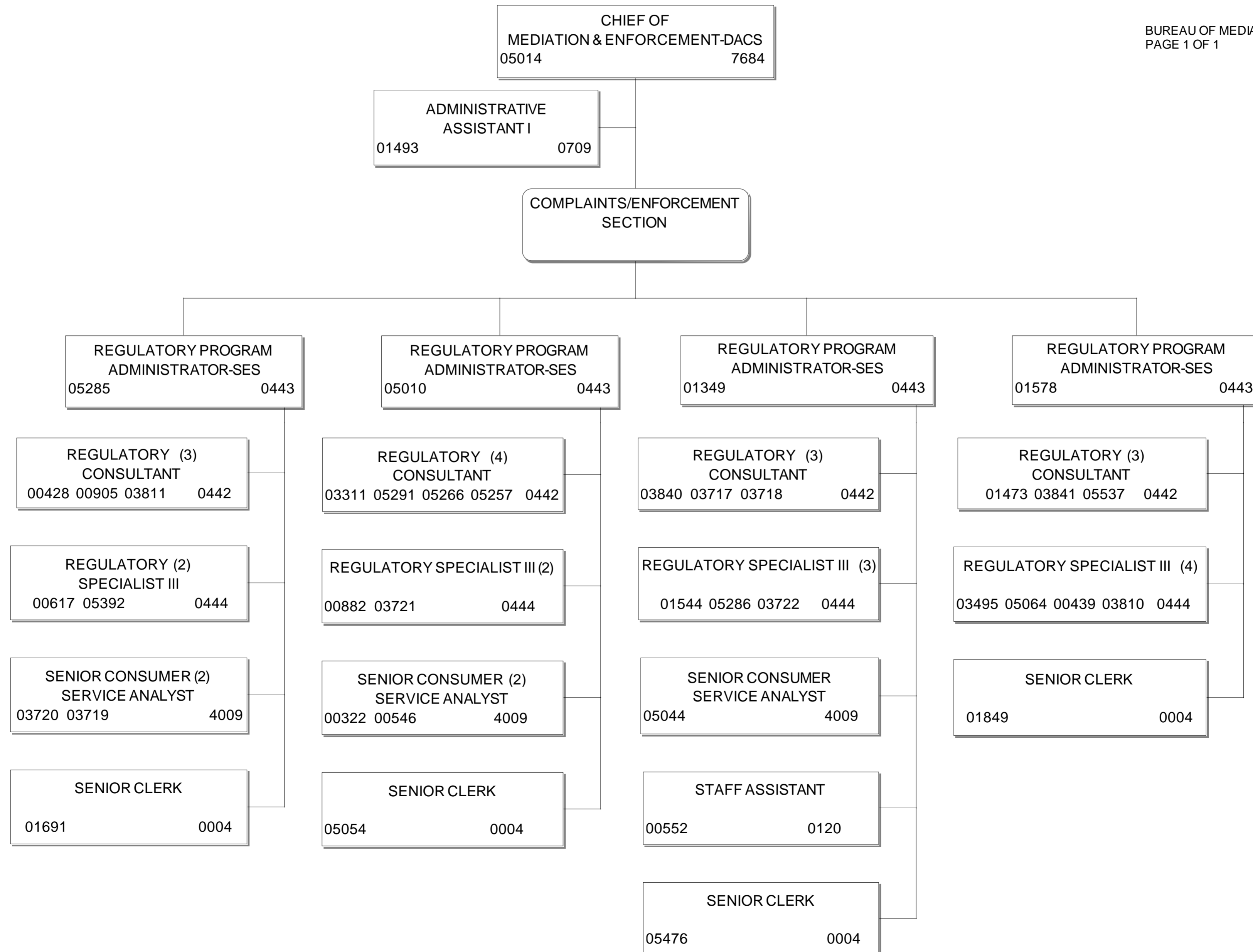
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF CONSUMER SERVICES**

BUREAU OF COMPLIANCE  
PAGE 1 OF 1

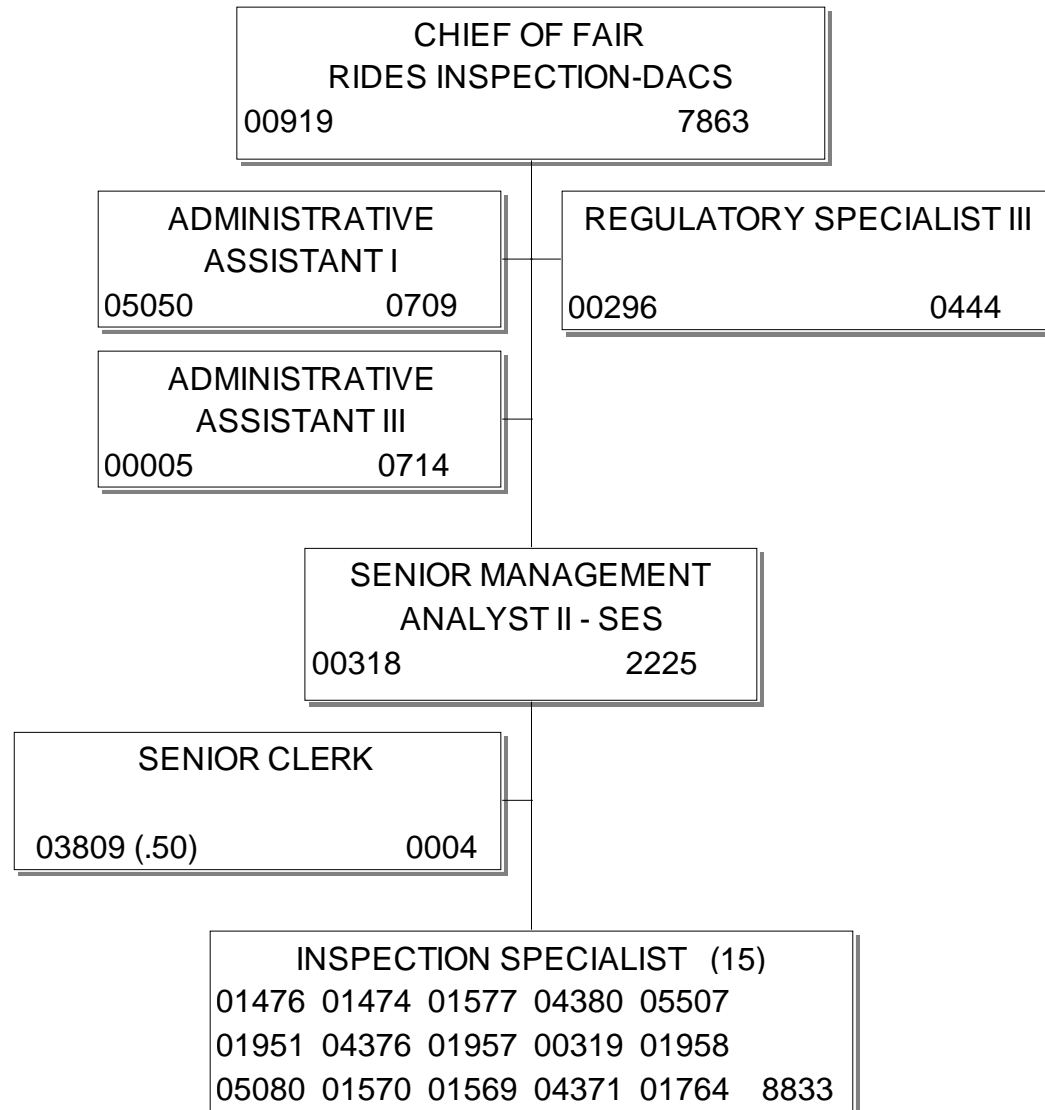


**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF CONSUMER SERVICES**

BUREAU OF MEDIATION & ENFORCEMENT  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF CONSUMER SERVICES**



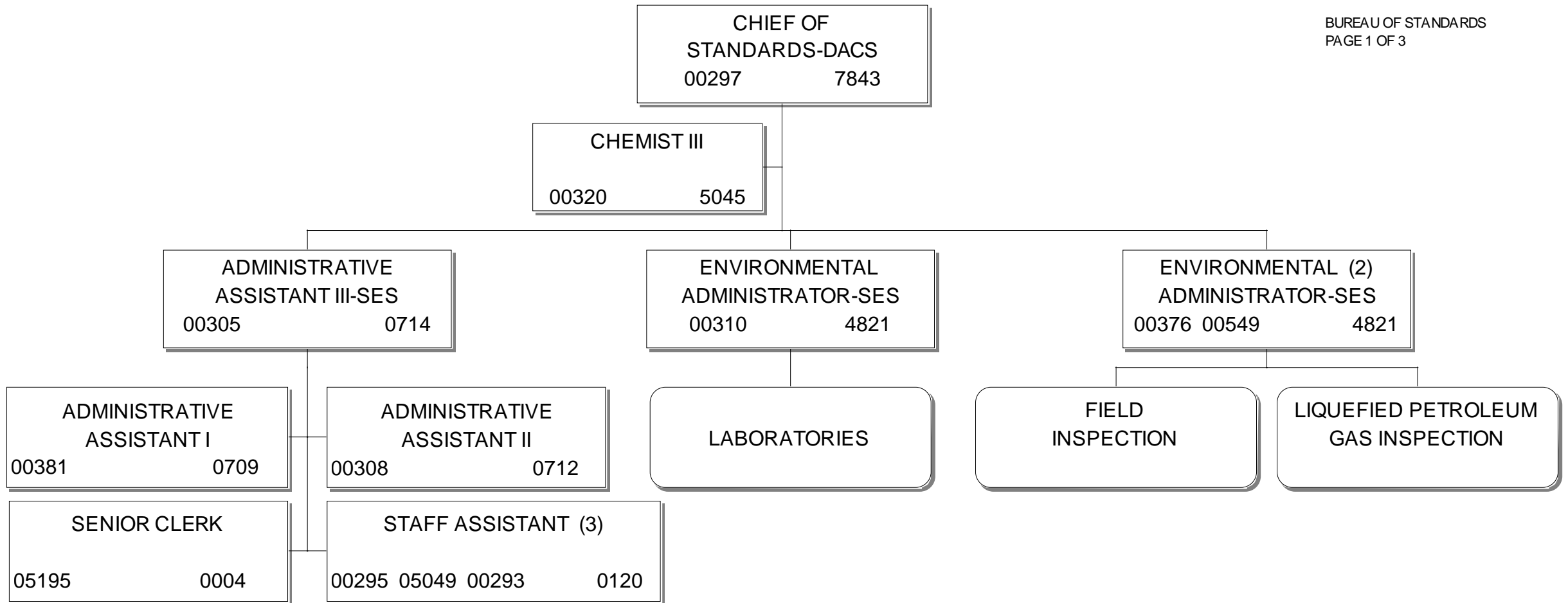
BUREAU OF FAIR RIDES INSPECTION  
PAGE 1 OF 1

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 8/12/2016

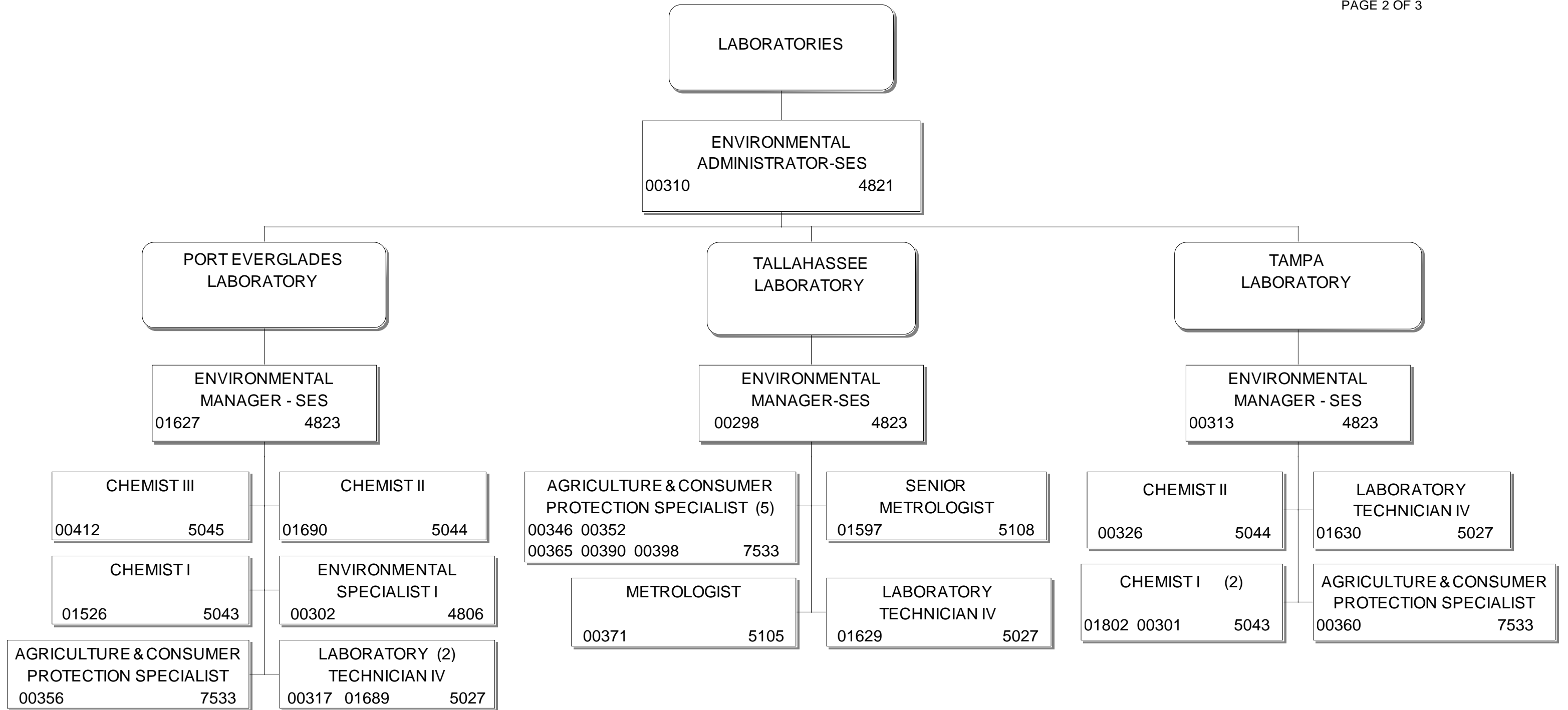


**DEPARTMENT OF AGRICULTURE  
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DIVISION OF CONSUMER SERVICES**

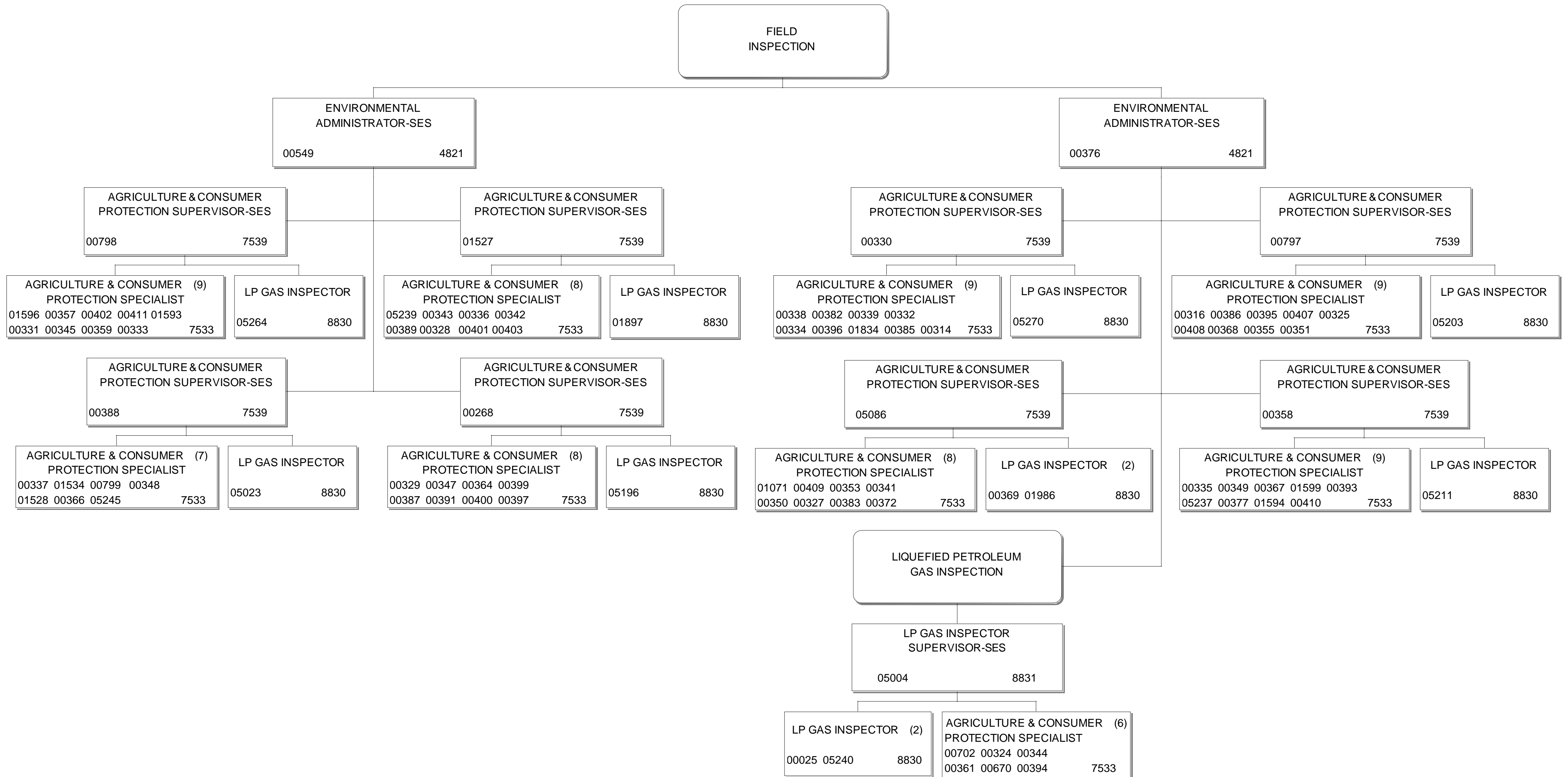
BUREAU OF STANDARDS  
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**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF CONSUMER SERVICES**

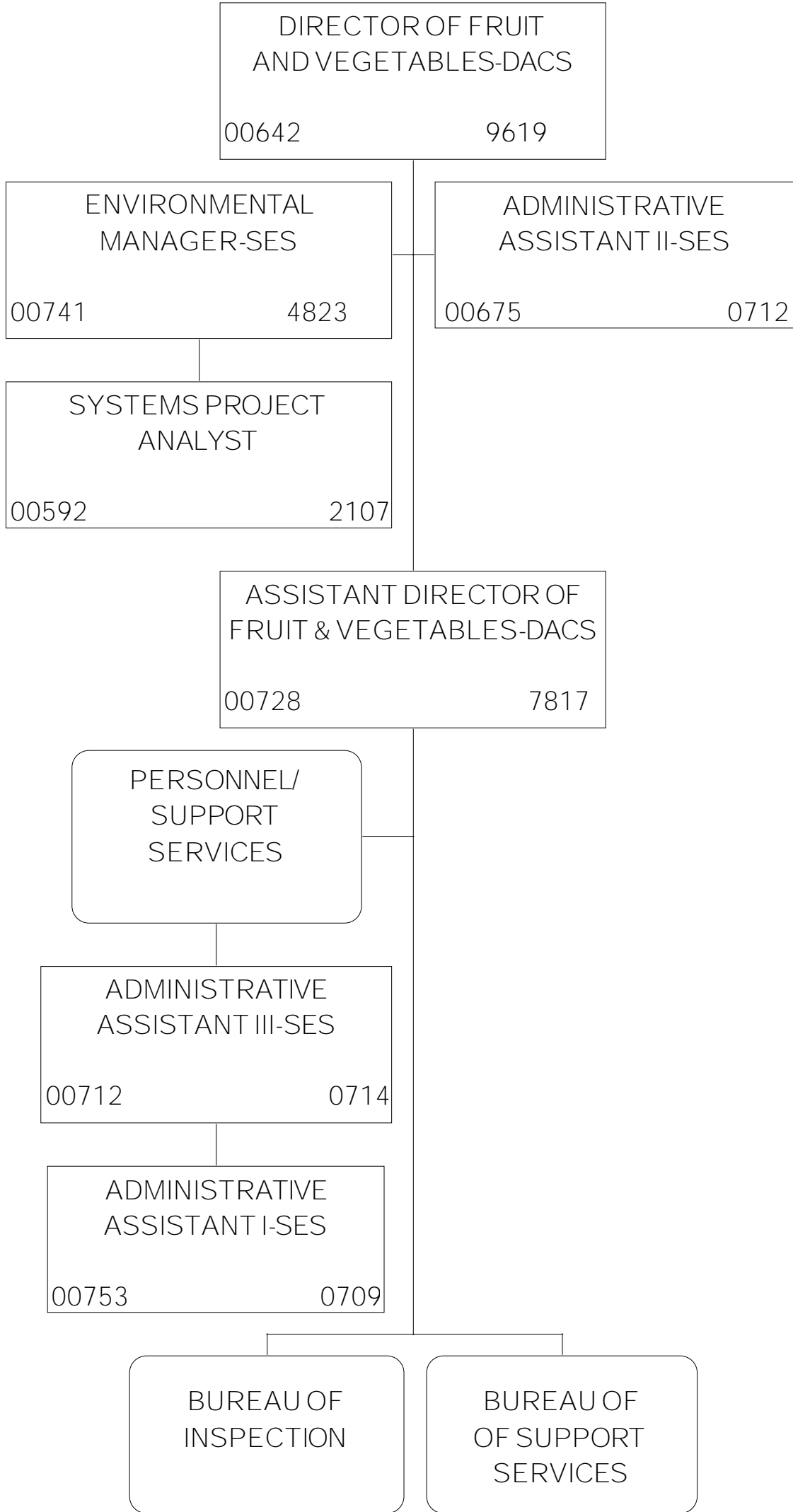


**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF CONSUMER SERVICES**



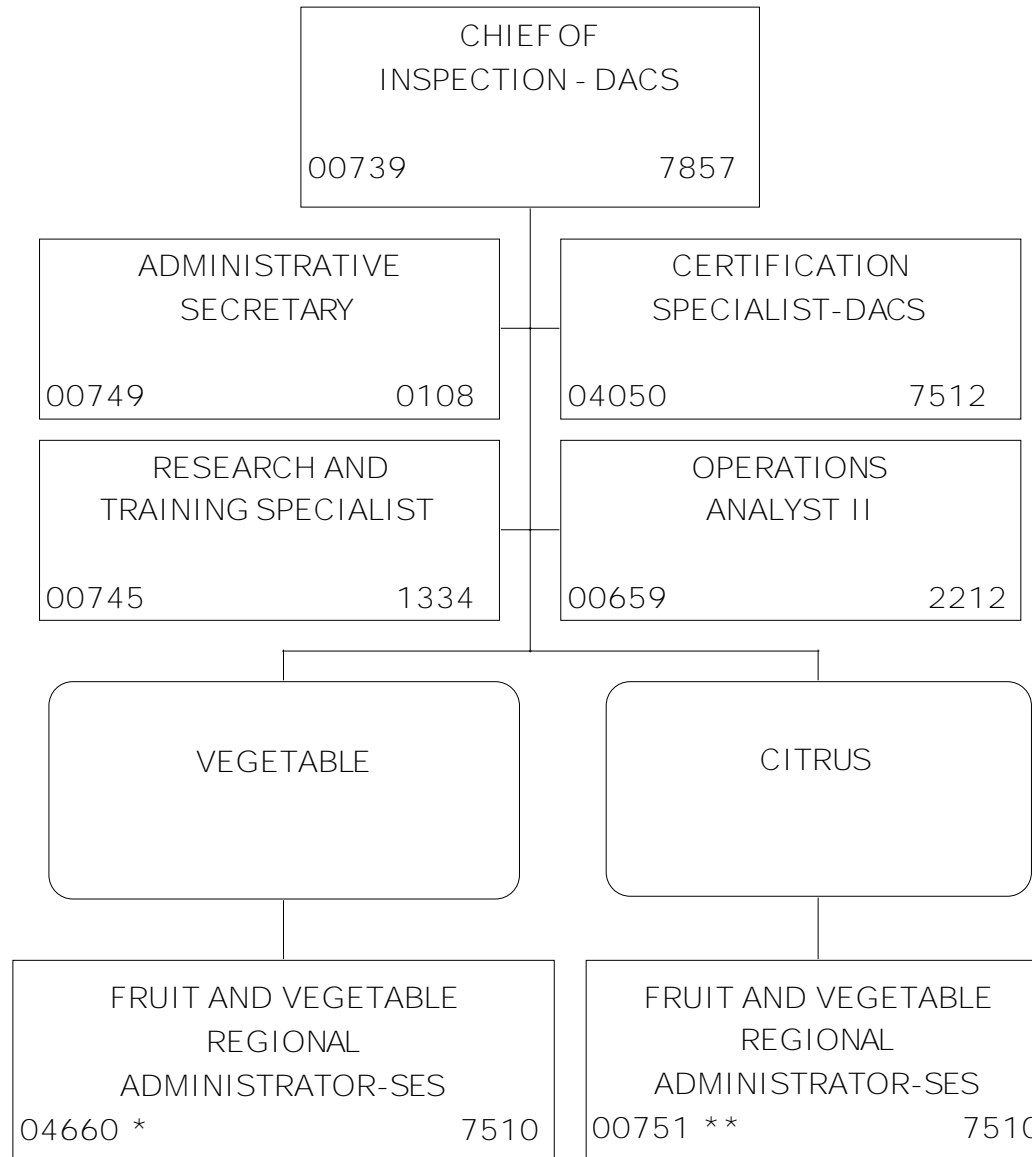
**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FRUIT AND VEGETABLES**

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

BUREAU OF INSPECTION  
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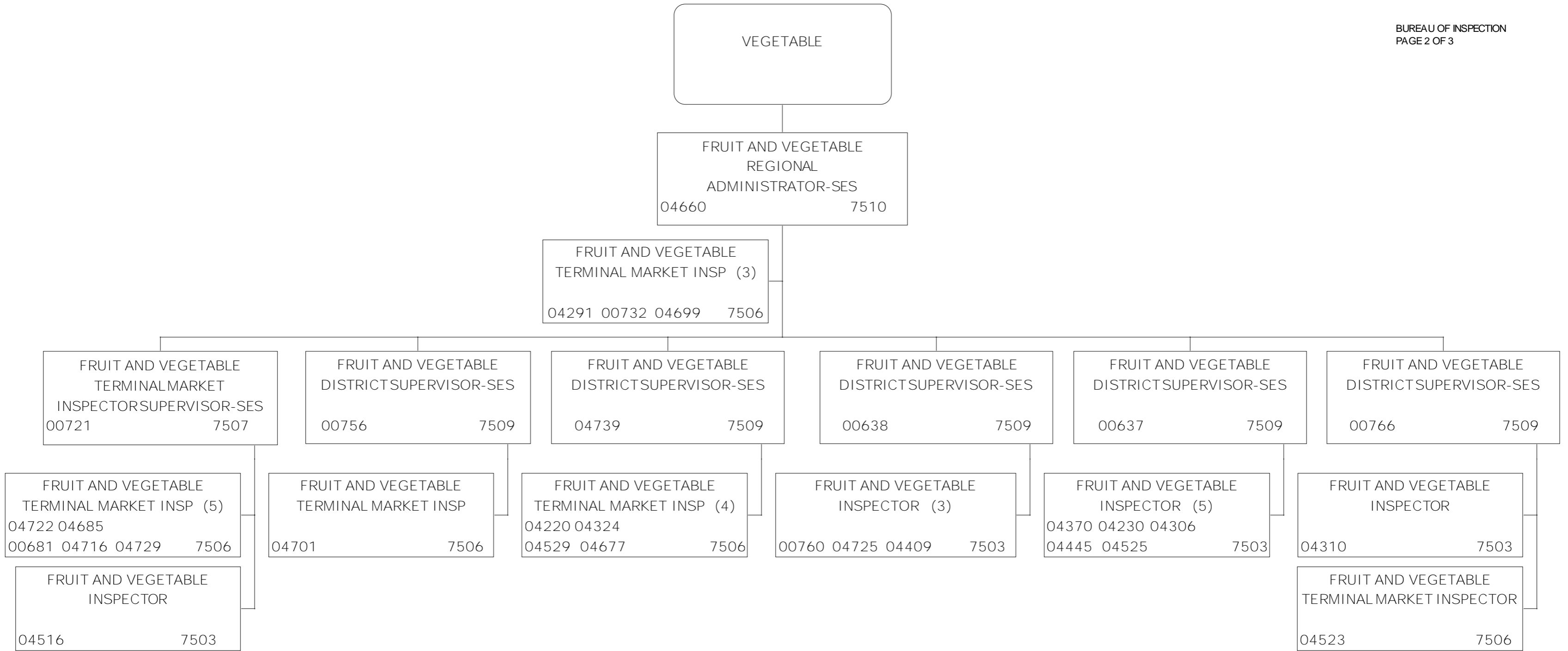


\* See page 2  
\*\* See page 3

ALISSA A. PERDUE, CHIEF OF PERSONNEL MANAGEMENT  
APPROVED DATE: 1/6/2017

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

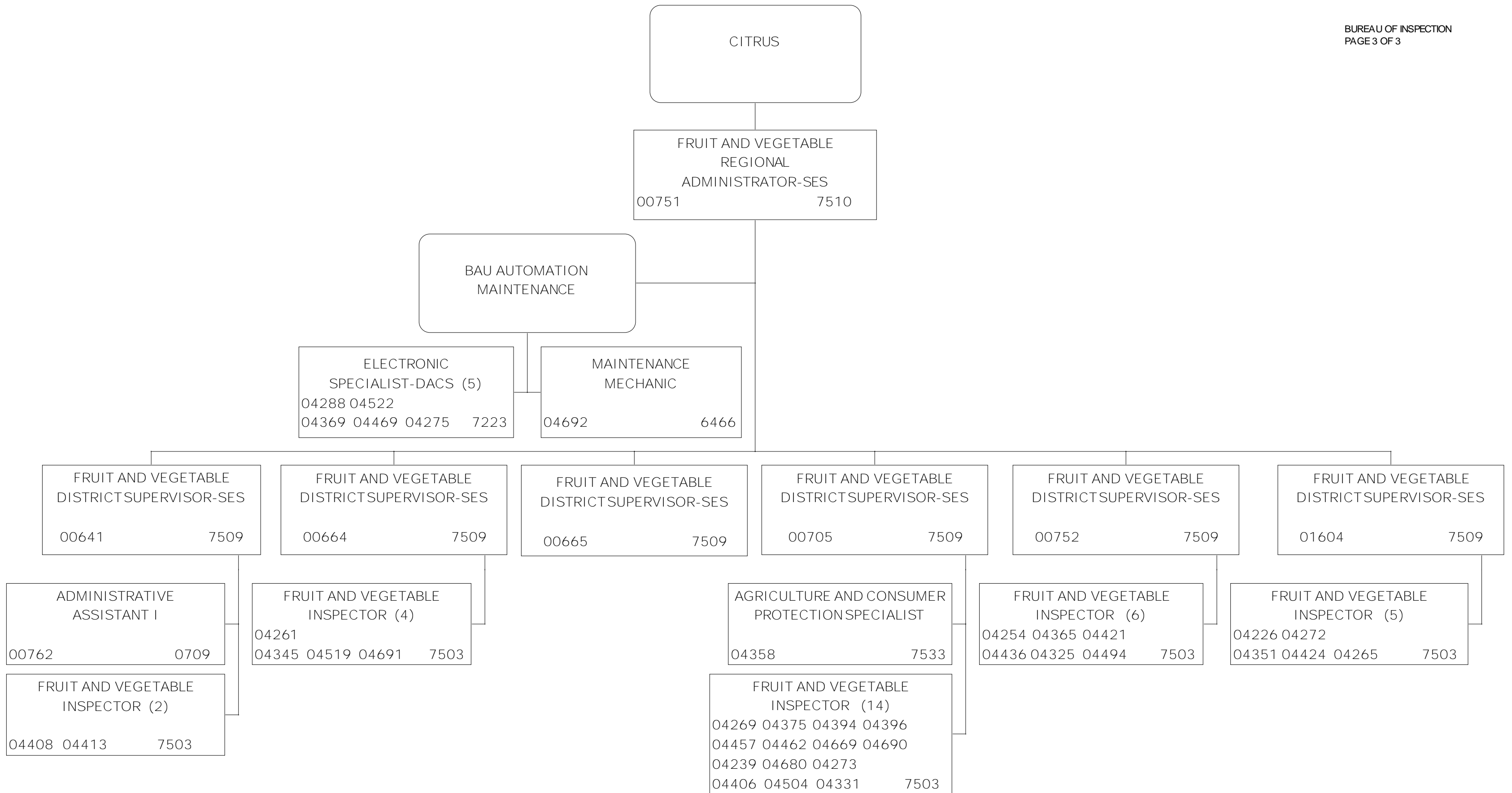
BUREAU OF INSPECTION  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 3/31/2017

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

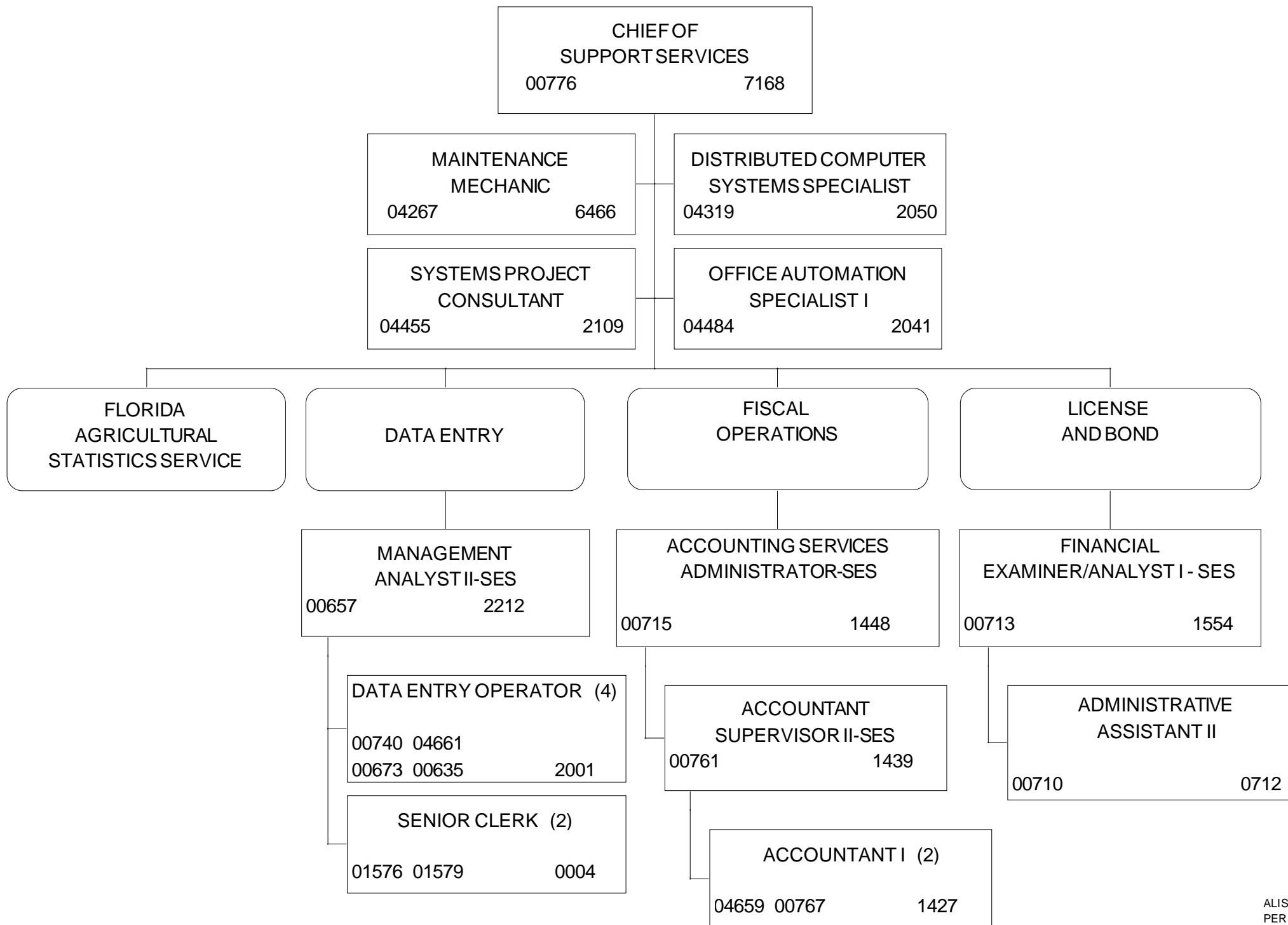
BUREAU OF INSPECTION  
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ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 2/24/2017

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

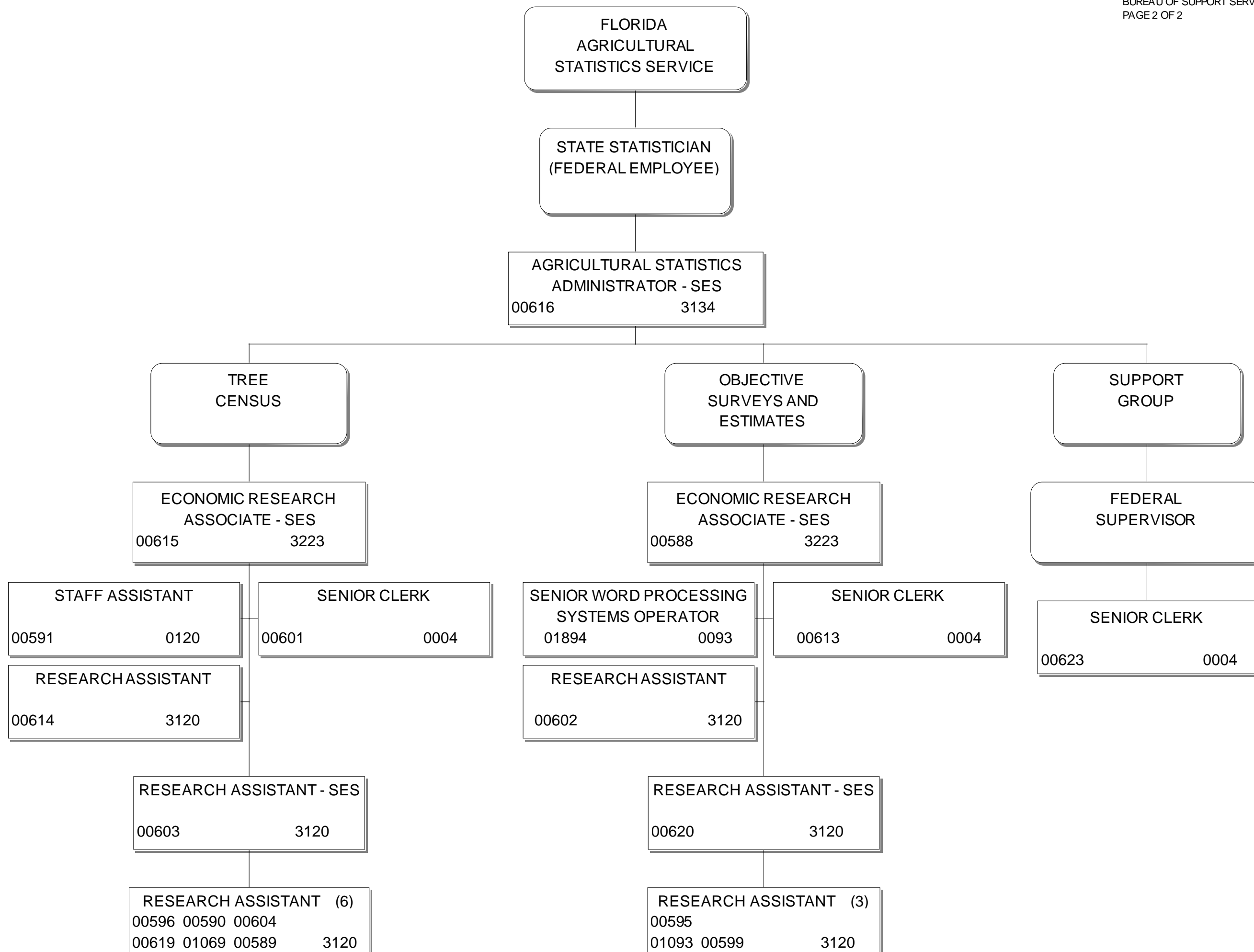
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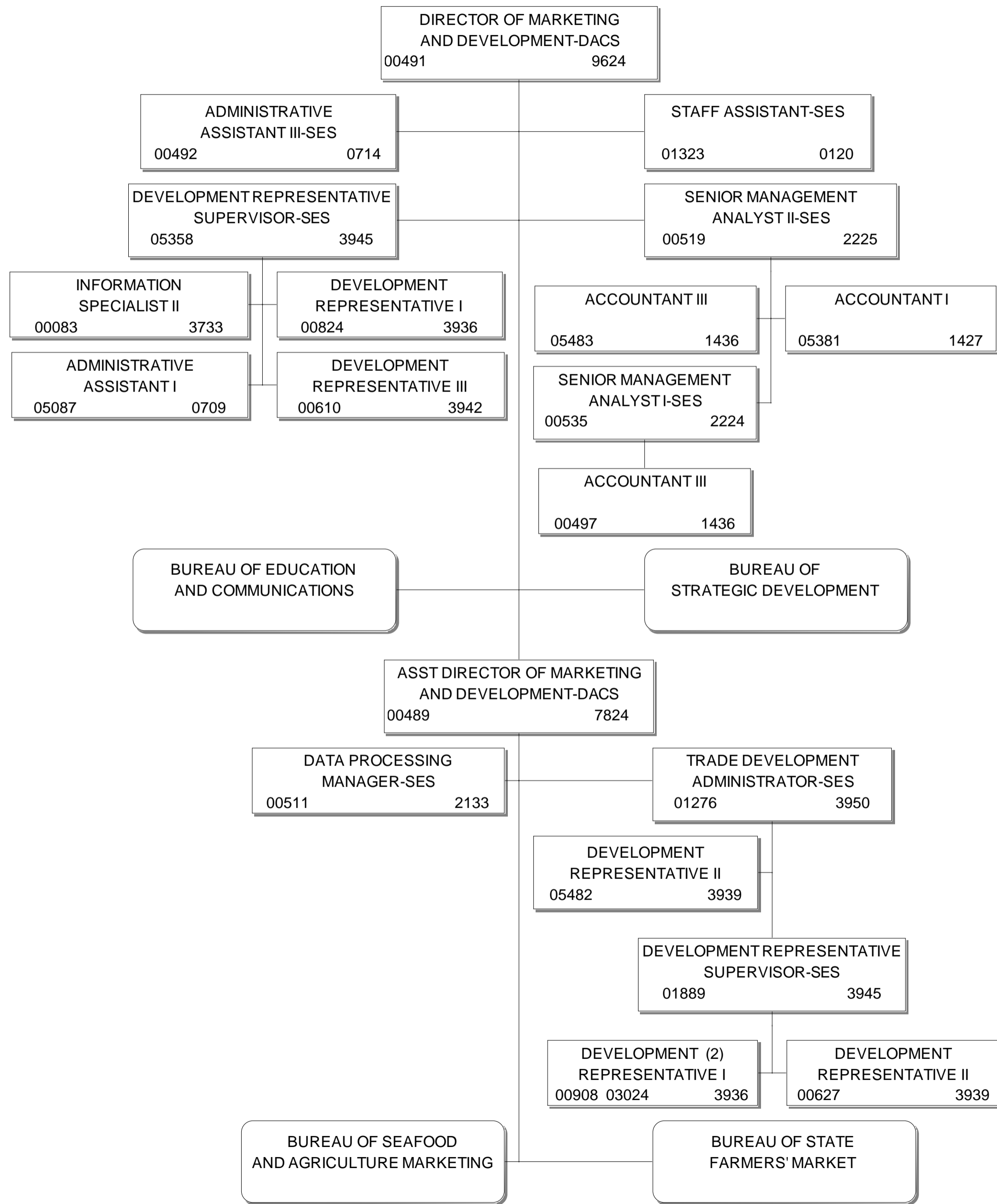
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF FRUIT AND VEGETABLES**

BUREAU OF SUPPORT SERVICES  
PAGE 2 OF 2

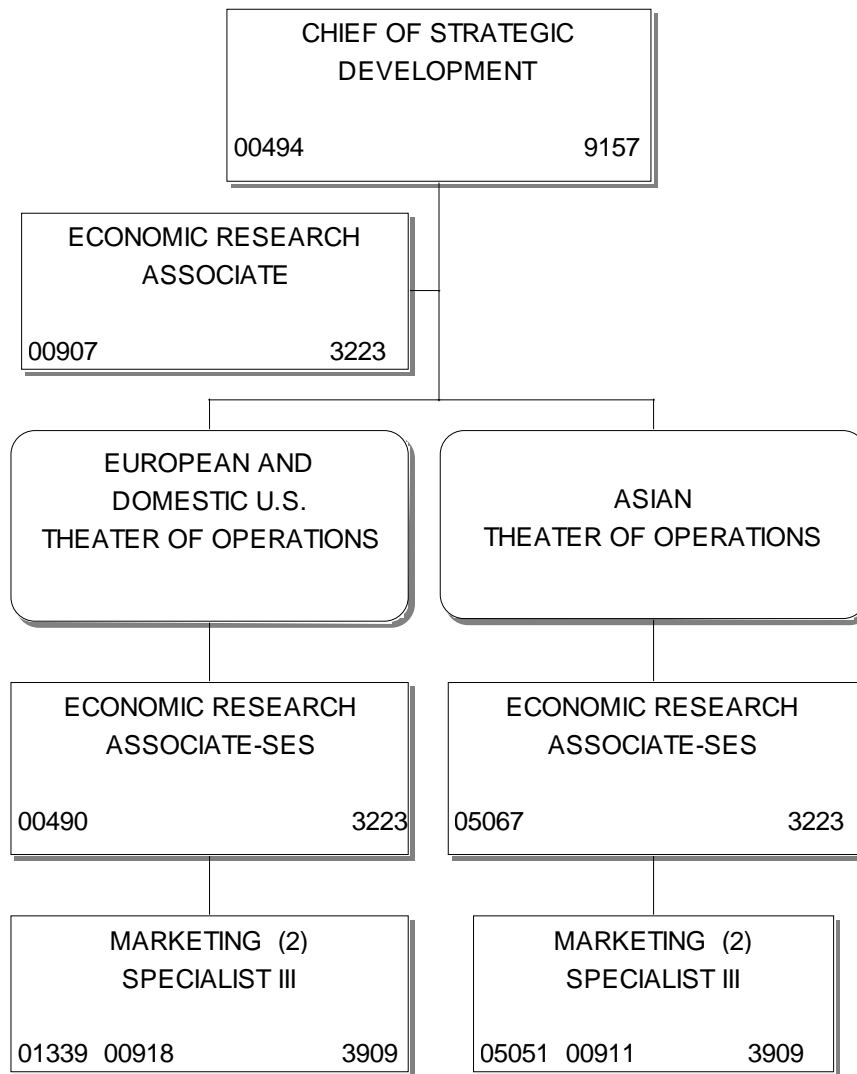


**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF MARKETING AND DEVELOPMENT**

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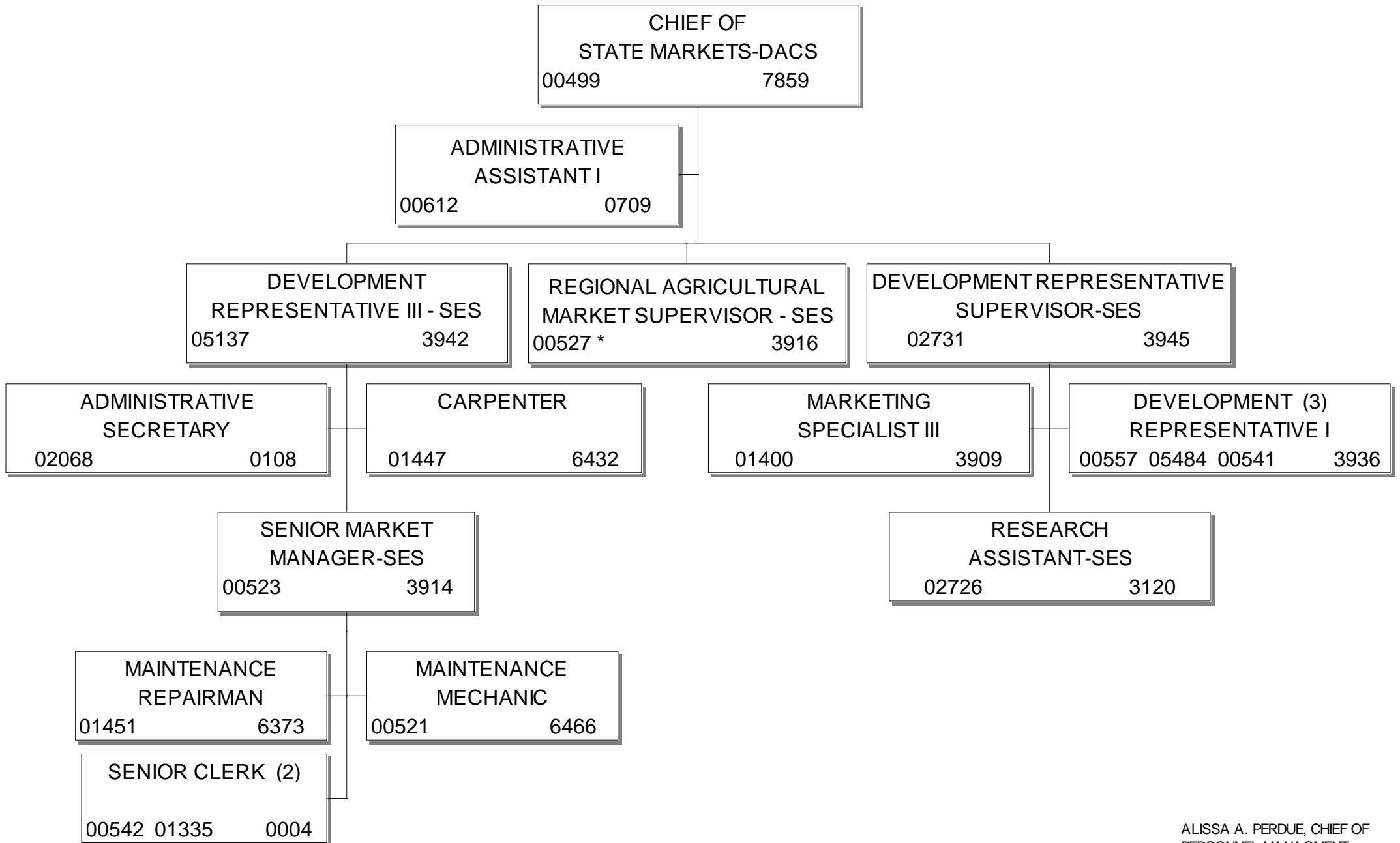
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF MARKETING AND DEVELOPMENT**



BUREAU OF STRATEGIC DEVELOPMENT  
PAGE 1 OF 1

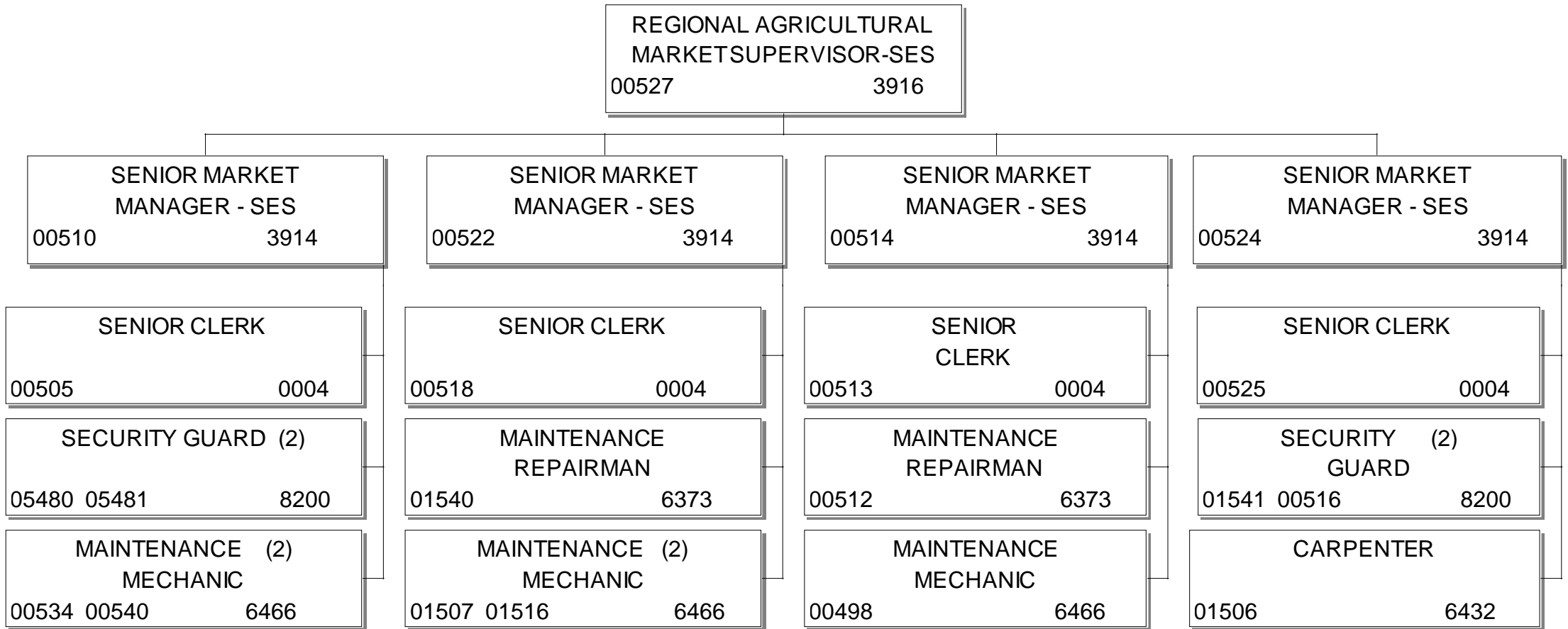
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DIVISION OF MARKETING AND DEVELOPMENT**

BUREAU OF STATE FARMERS' MARKET  
PAGE 1 OF 3



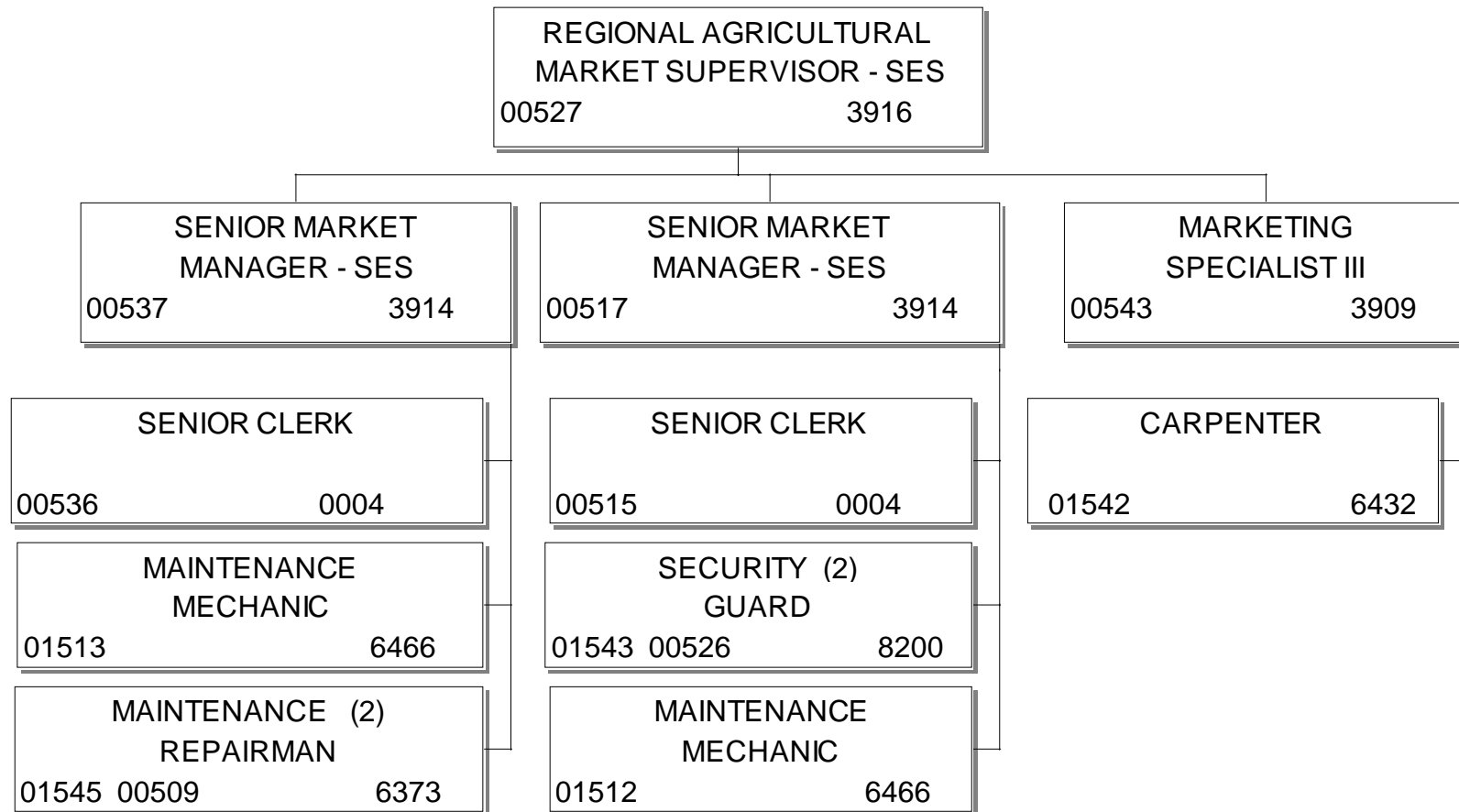
**DEPARTMENT OF AGRICULTURE  
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DIVISION OF MARKETING AND DEVELOPMENT**

BUREAU OF STATE FARMERS' MARKET  
PAGE 2 OF 3



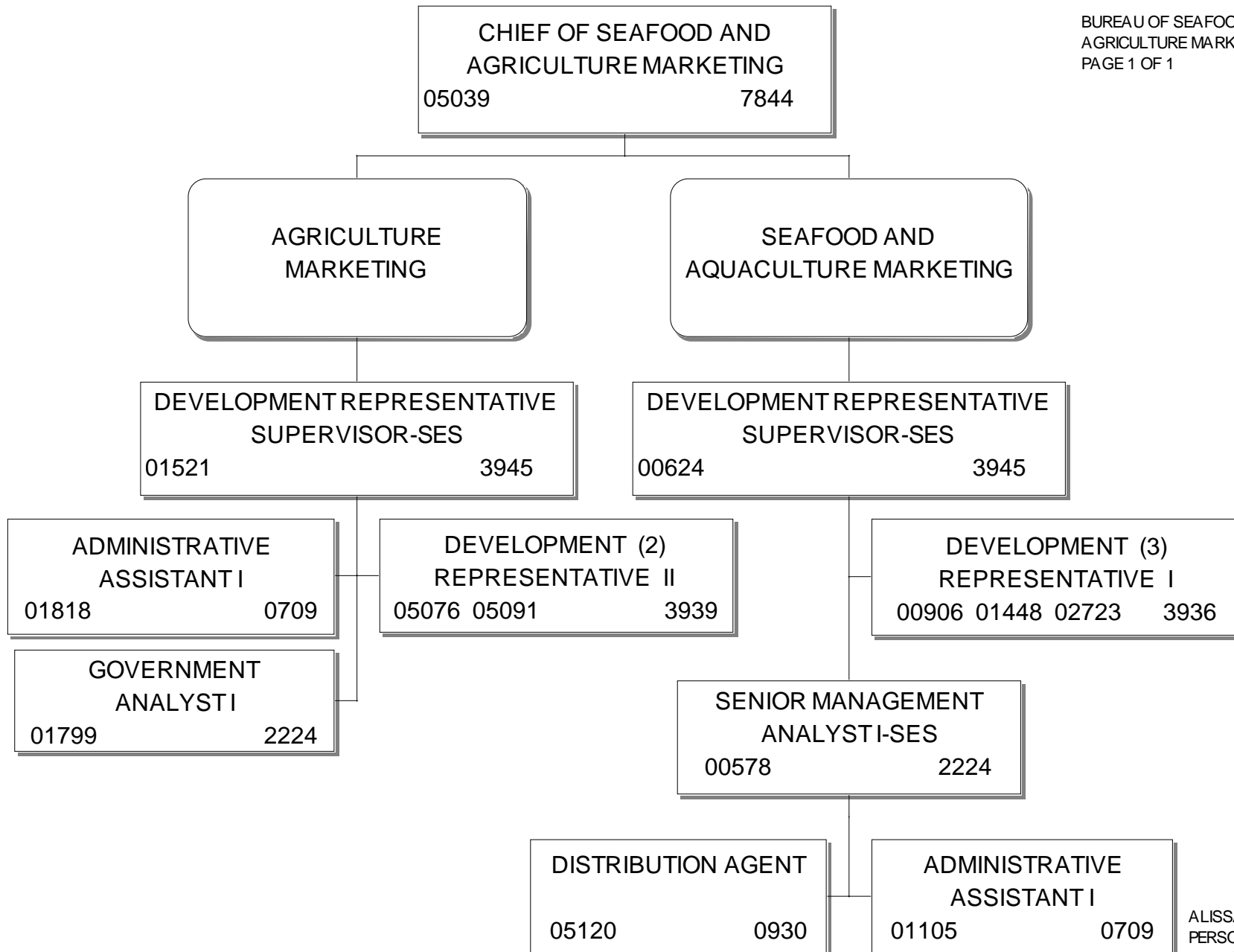
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DIVISION OF MARKETING AND DEVELOPMENT**

BUREAU OF STATE FARMERS' MARKET  
PAGE 3 OF 3



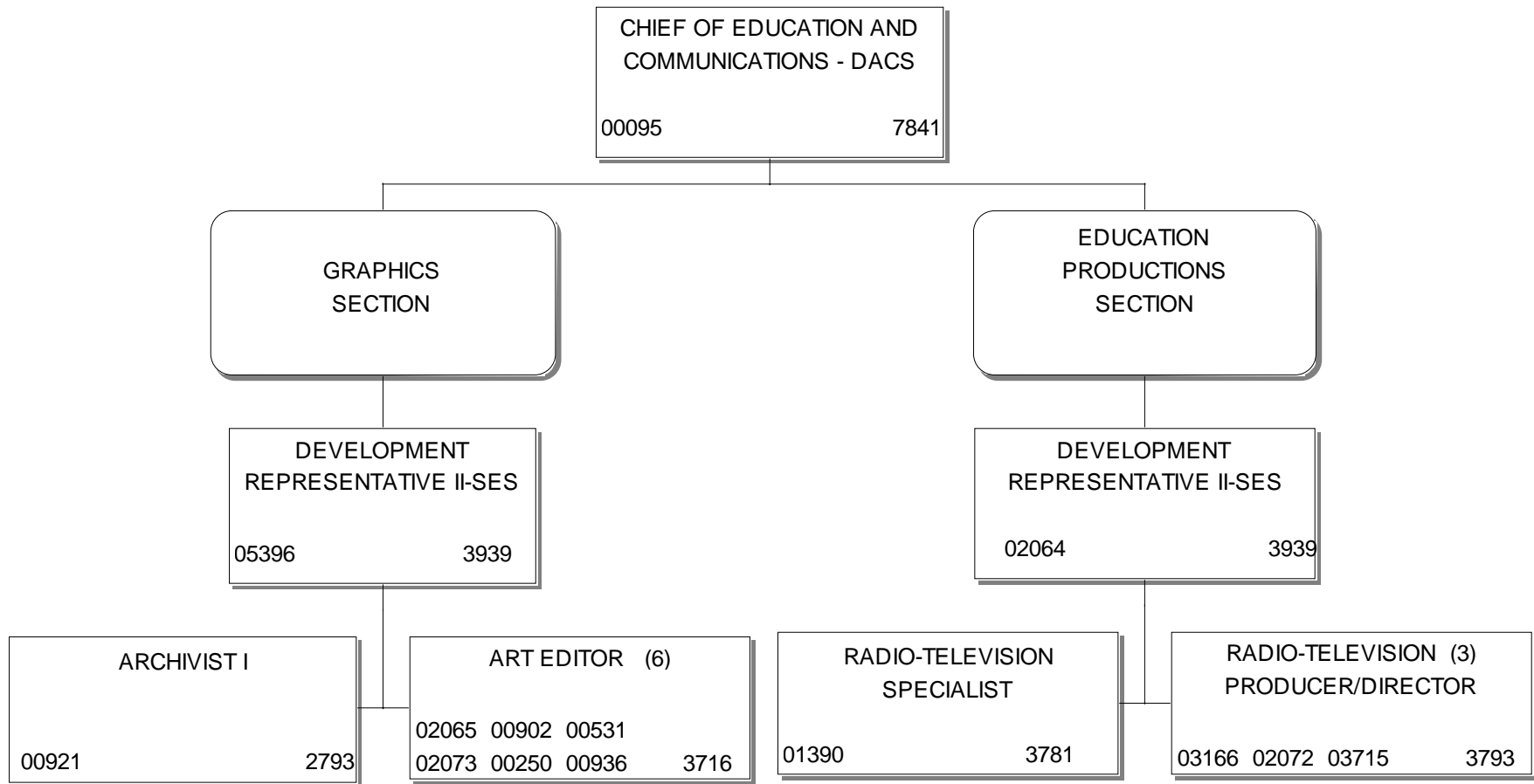
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF MARKETING AND DEVELOPMENT**

BUREAU OF SEAFOOD AND  
AGRICULTURE MARKETING  
PAGE 1 OF 1



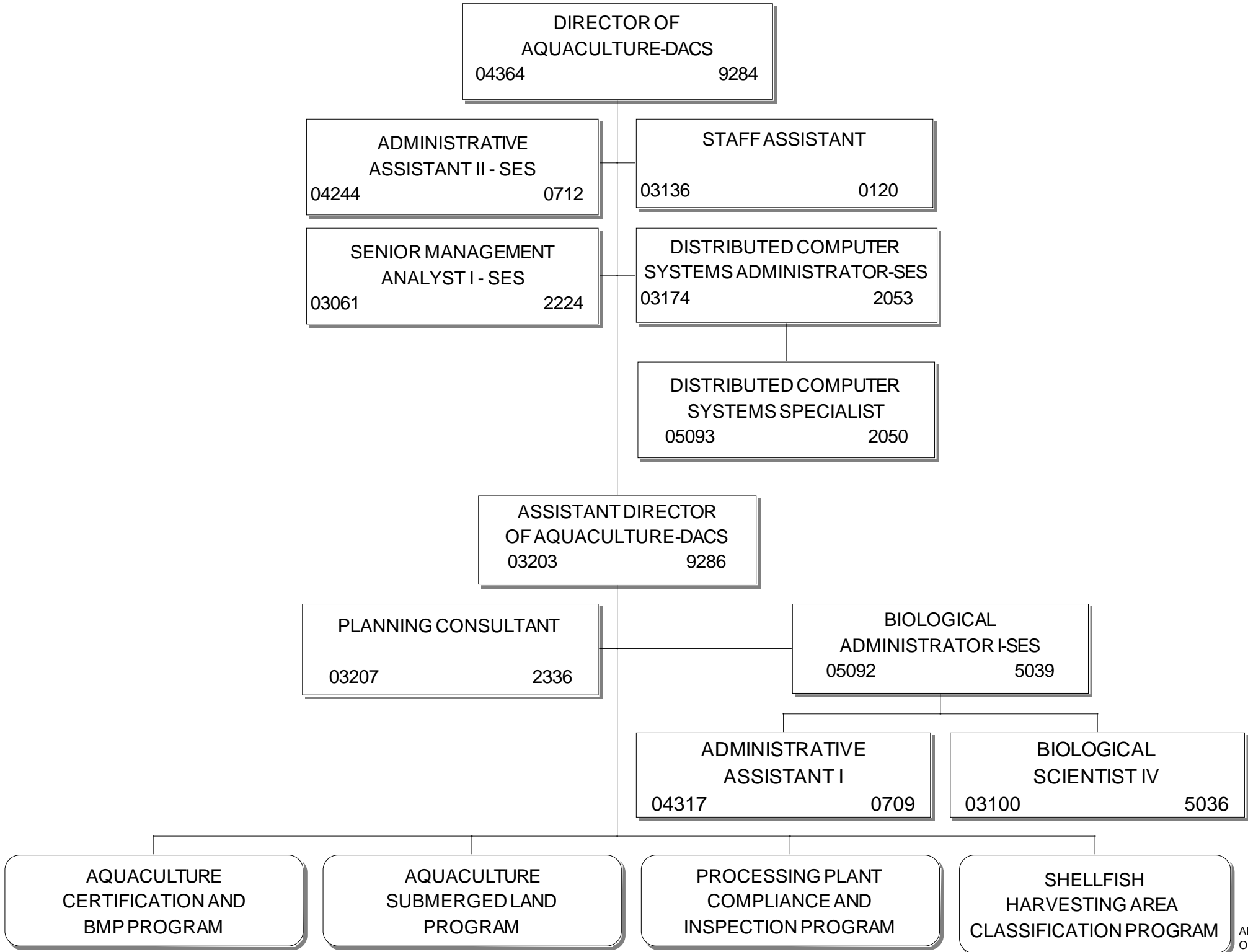
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BUREAU OF EDUCATION AND COMMUNICATIONS  
PAGE 1 OF 1



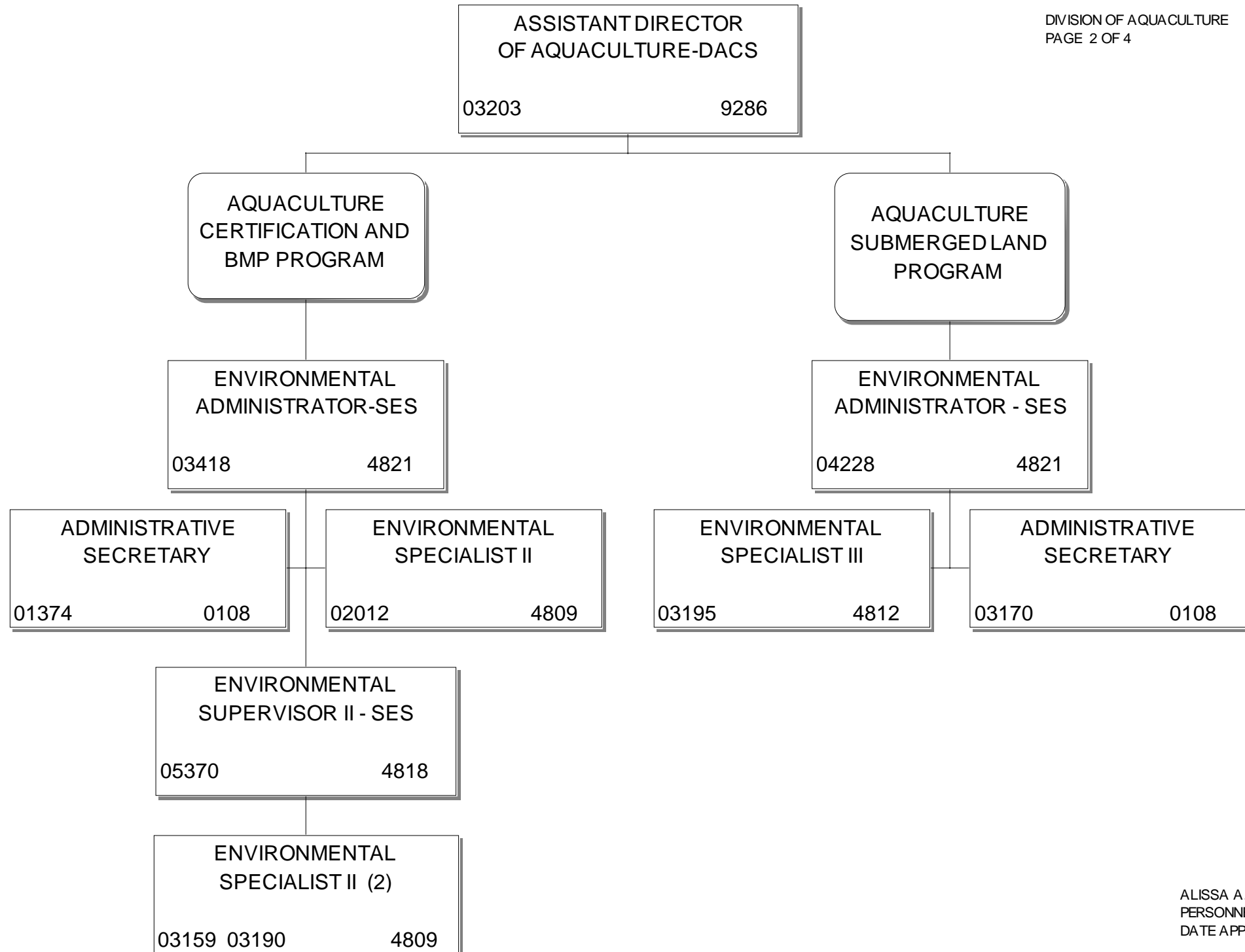


**DEPARTMENT OF AGRICULTURE  
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DIVISION OF AQUACULTURE**



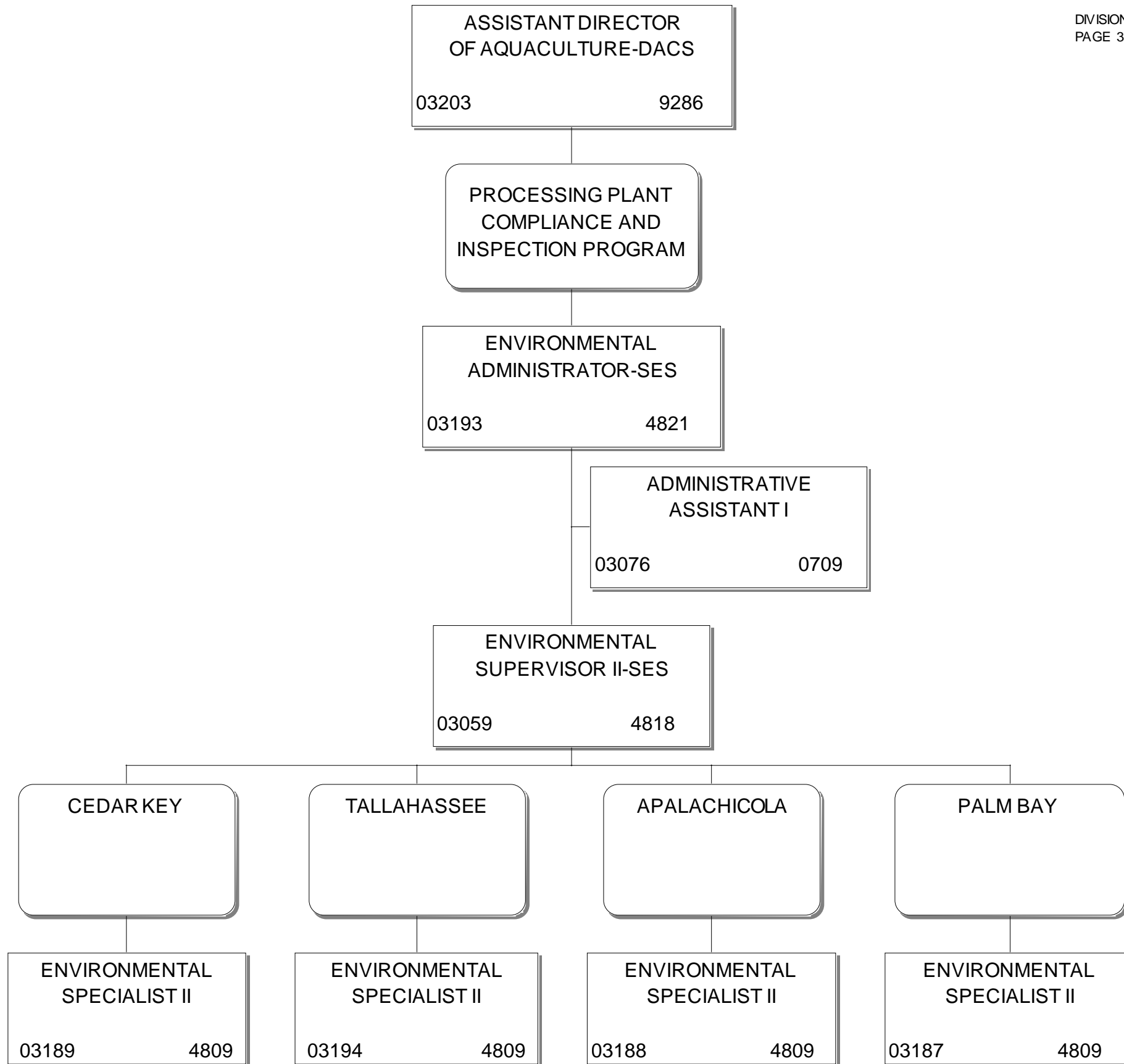
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF AQUACULTURE**

DIVISION OF AQUACULTURE  
PAGE 2 OF 4



**DEPARTMENT OF AGRICULTURE  
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DIVISION OF AQUACULTURE**

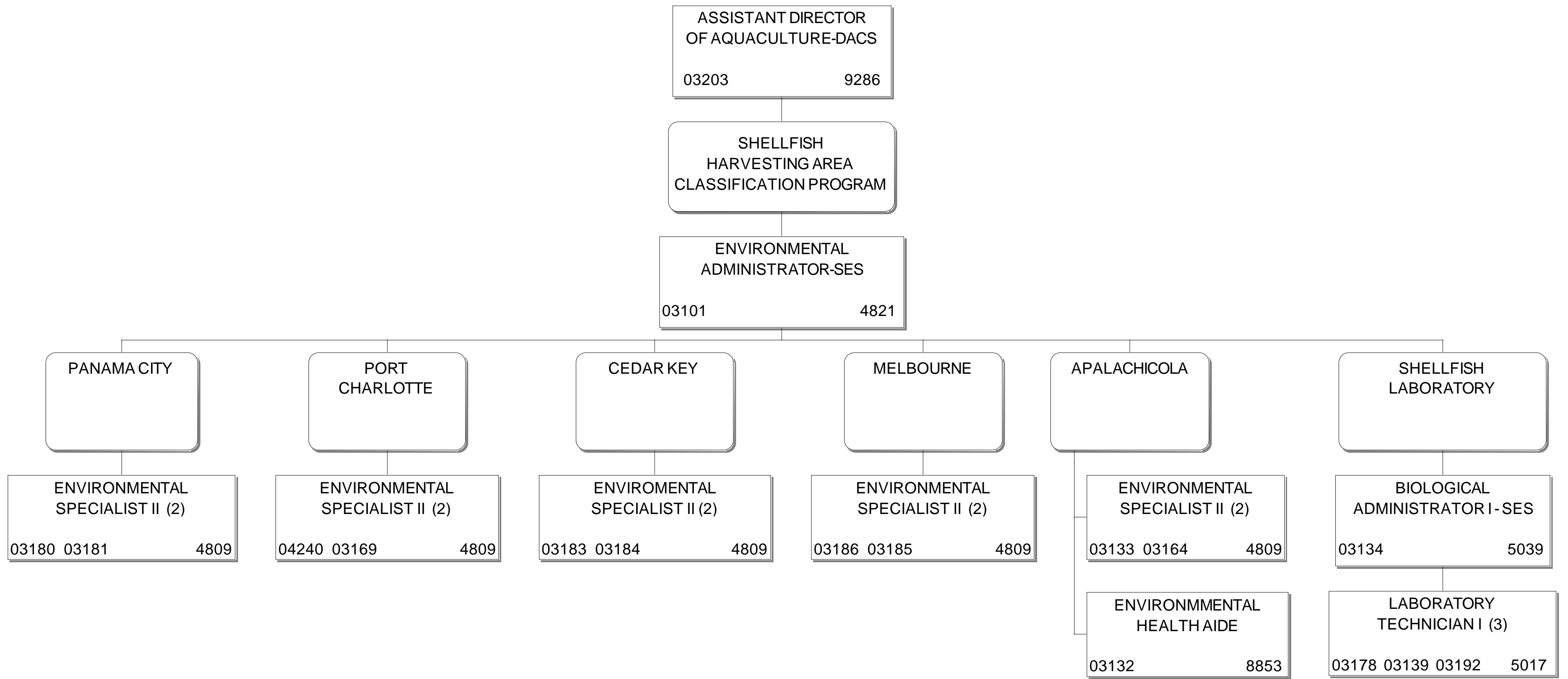
DIVISION OF AQUACULTURE  
PAGE 3 OF 4



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 11/2/2015

**DEPARTMENT OF AGRICULTURE  
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DIVISION OF AQUACULTURE**

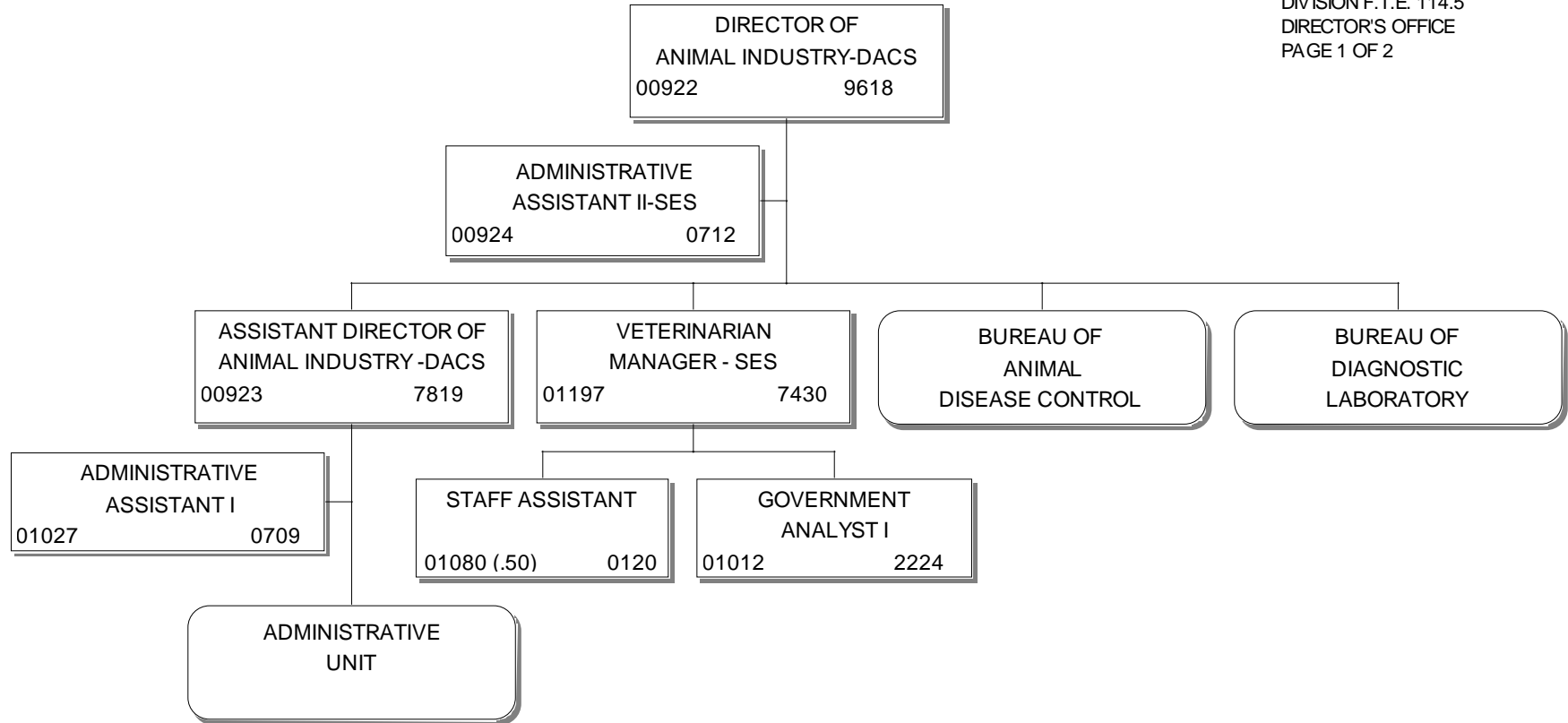
DIVISION OF AQUACULTURE  
PAGE 4 OF 4



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
DATE APPROVED: 11/2/2015

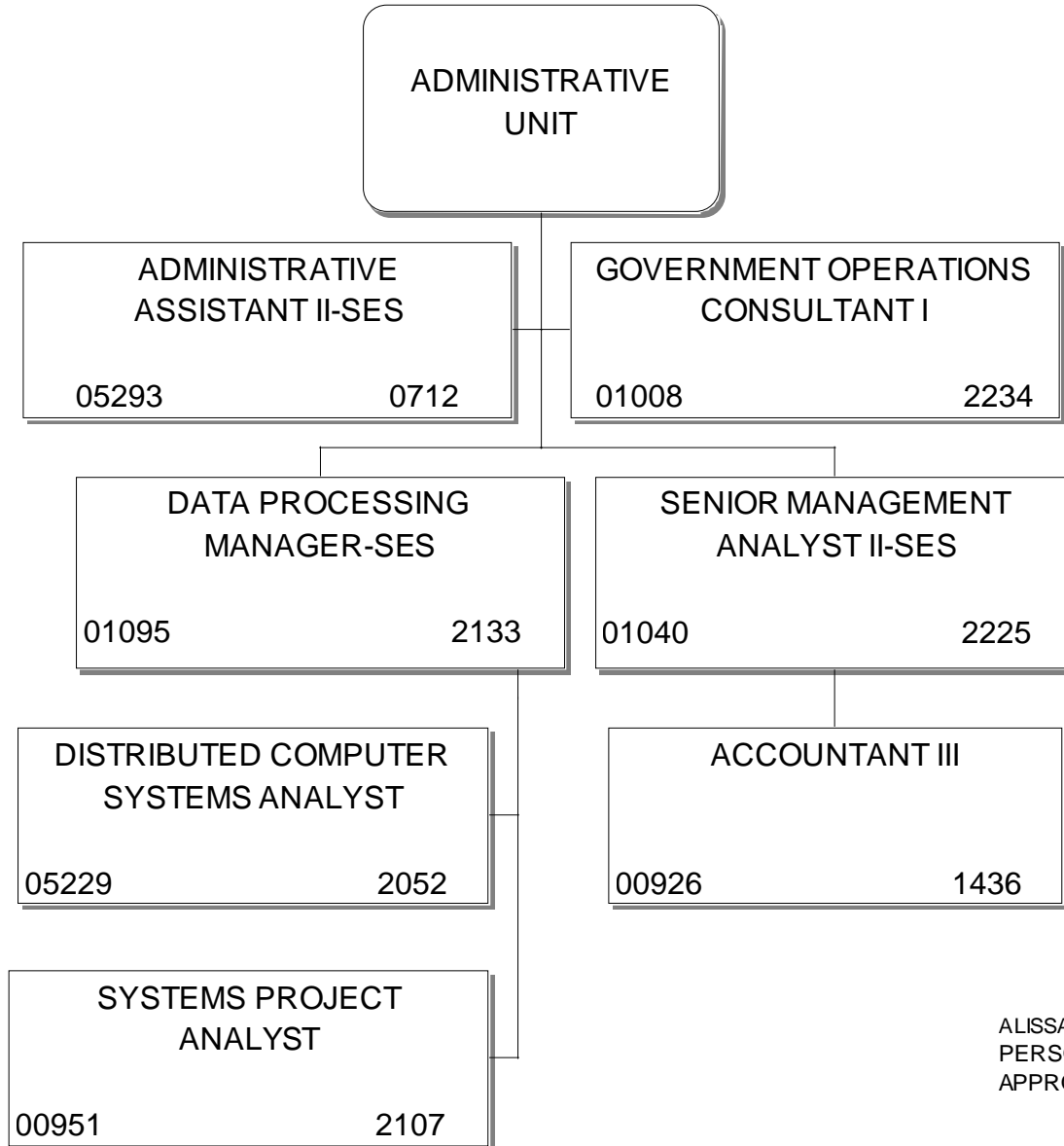
**DEPARTMENT OF AGRICULTURE  
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DIVISION OF ANIMAL INDUSTRY**

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



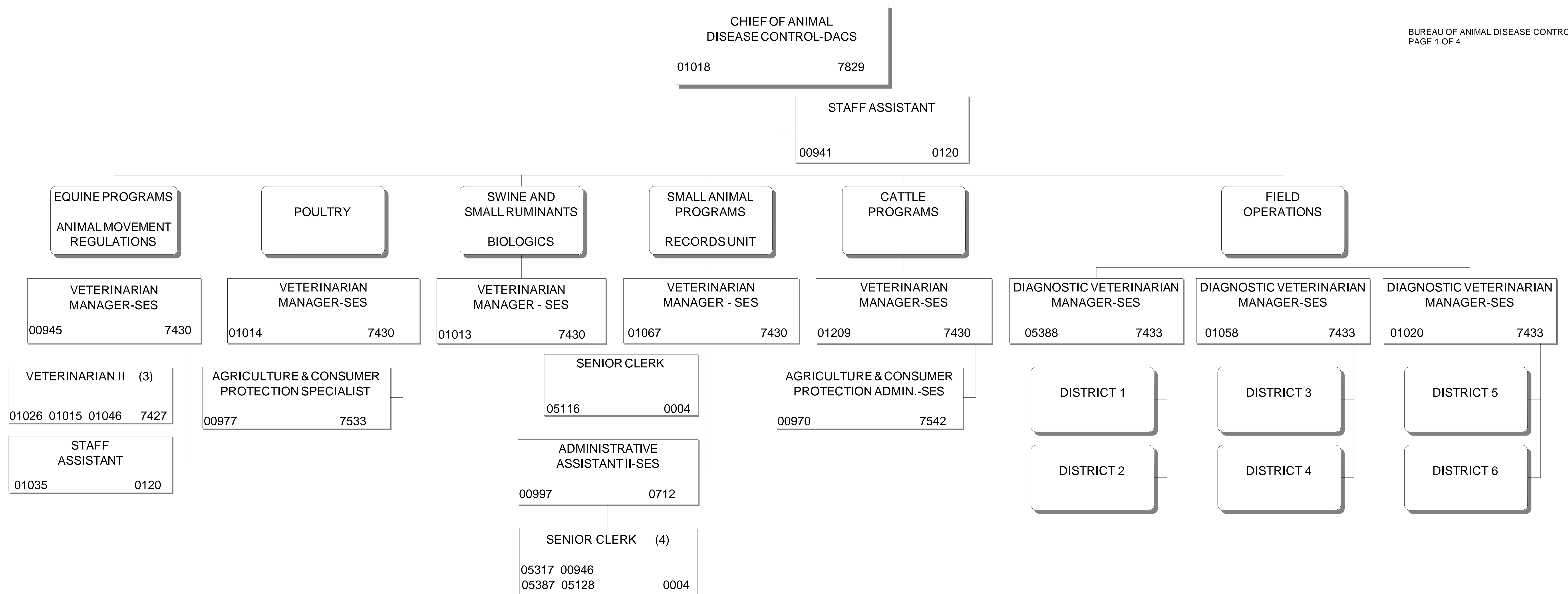
**DEPARTMENT OF AGRICULTURE  
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DIVISION OF ANIMAL INDUSTRY**

DIRECTOR'S OFFICE  
PAGE 2 OF 2



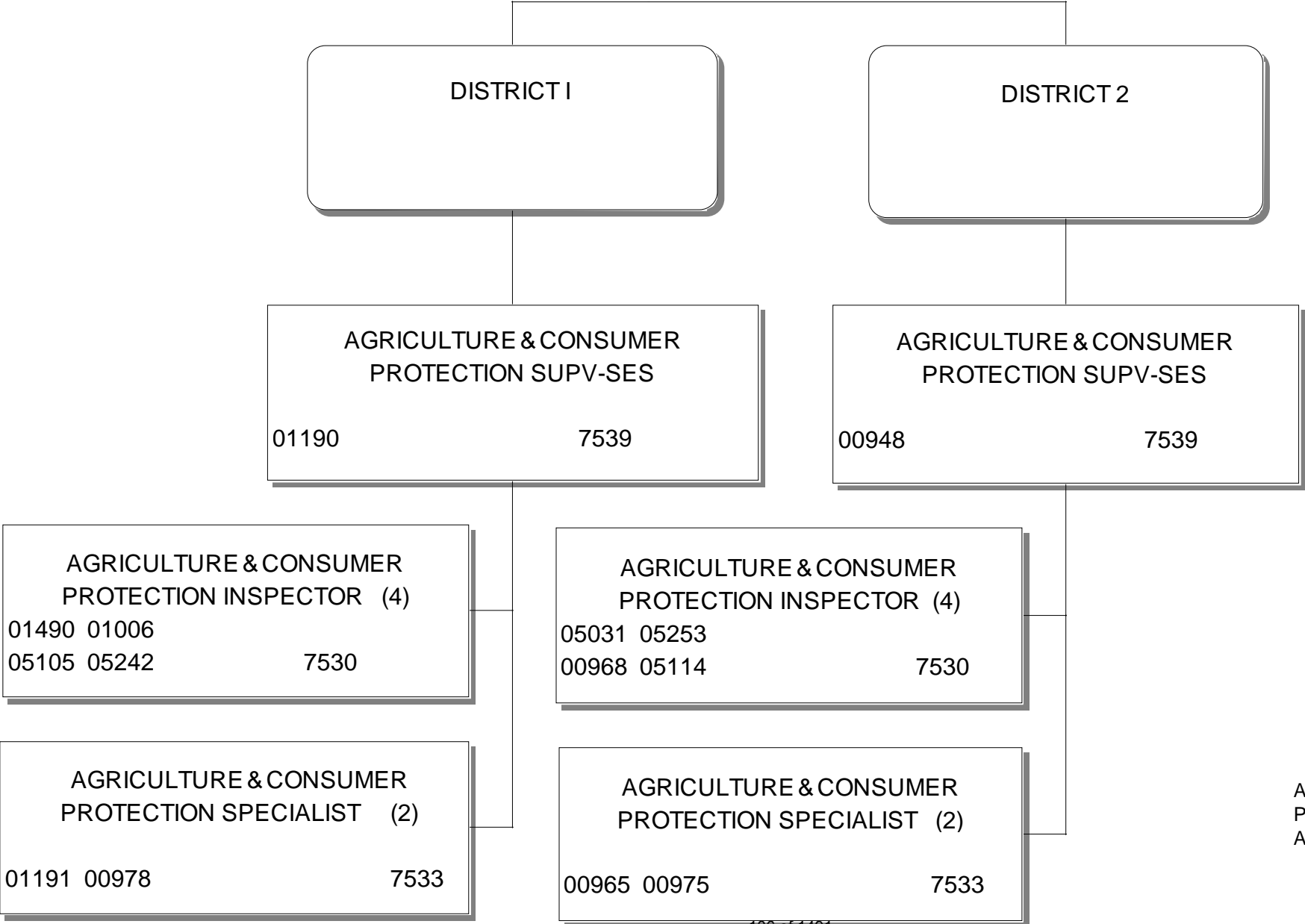
ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 7/1/2016

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF ANIMAL INDUSTRY**



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF ANIMAL INDUSTRY**

BUREAU OF ANIMAL DISEASE CONTROL  
PAGE 2 OF 4

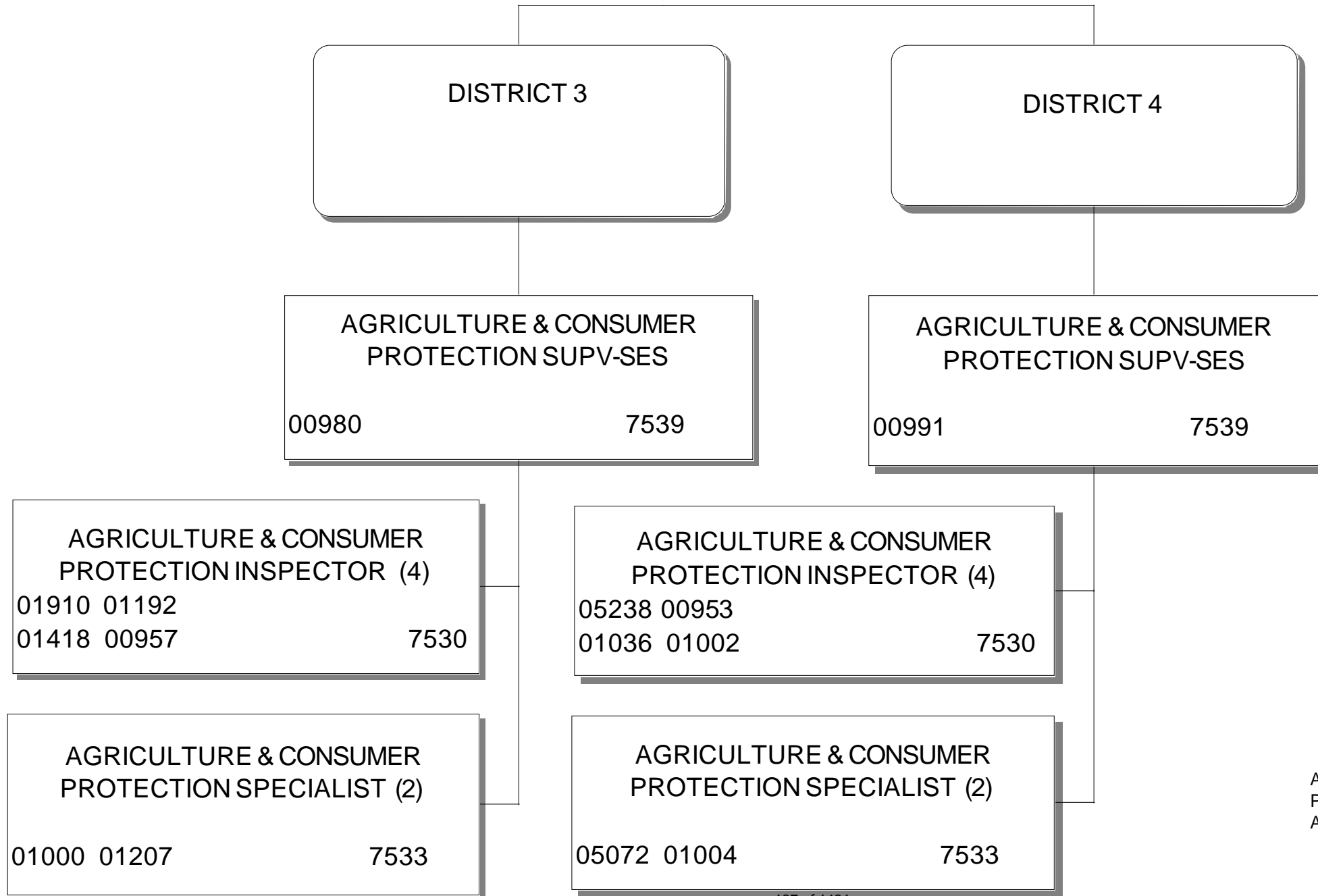


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 2/12/2016



**DEPARTMENT OF AGRICULTURE  
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DIVISION OF ANIMAL INDUSTRY**

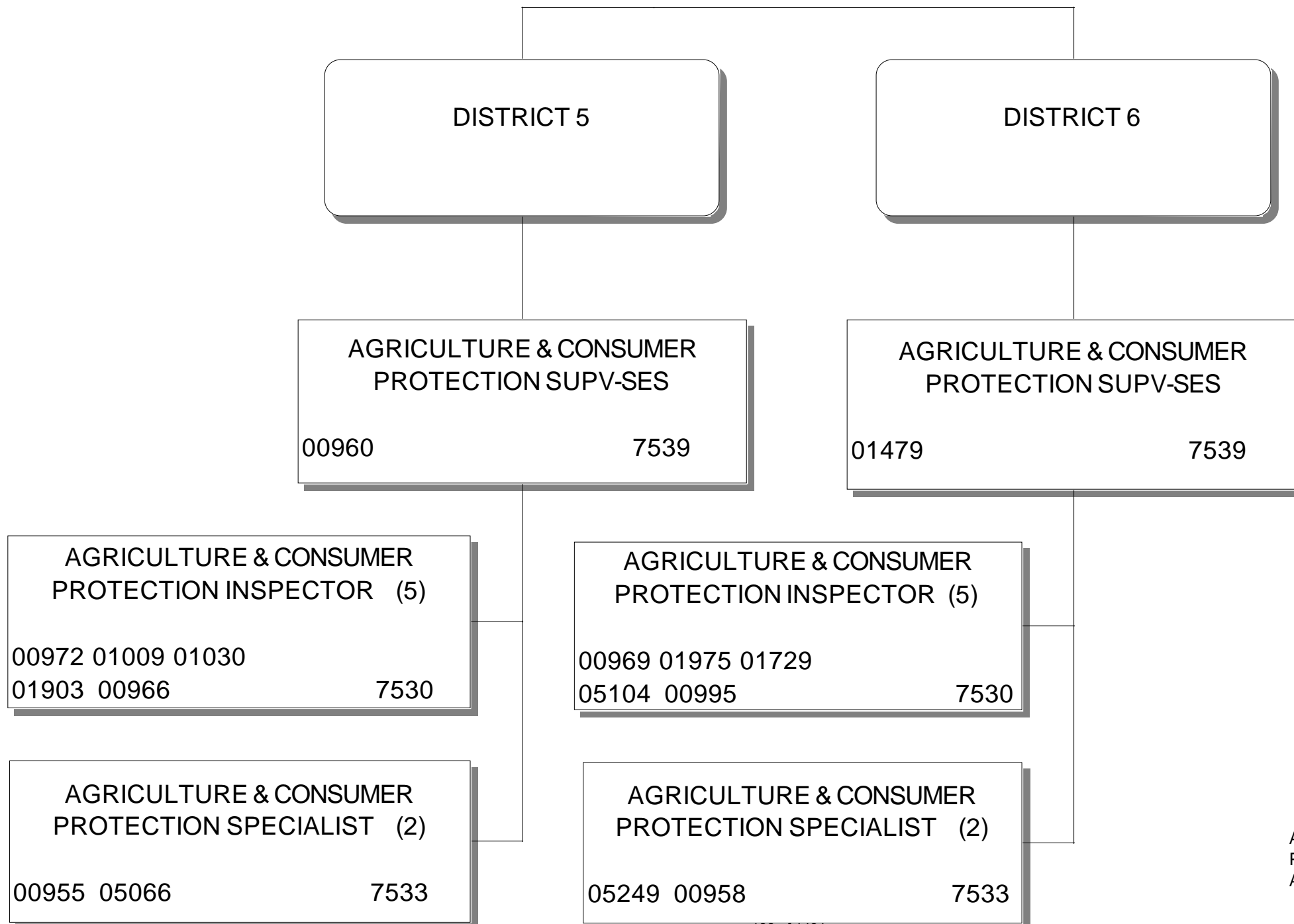
BUREAU OF ANIMAL DISEASE CONTROL  
PAGE 3 OF 4



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 6/2/2017

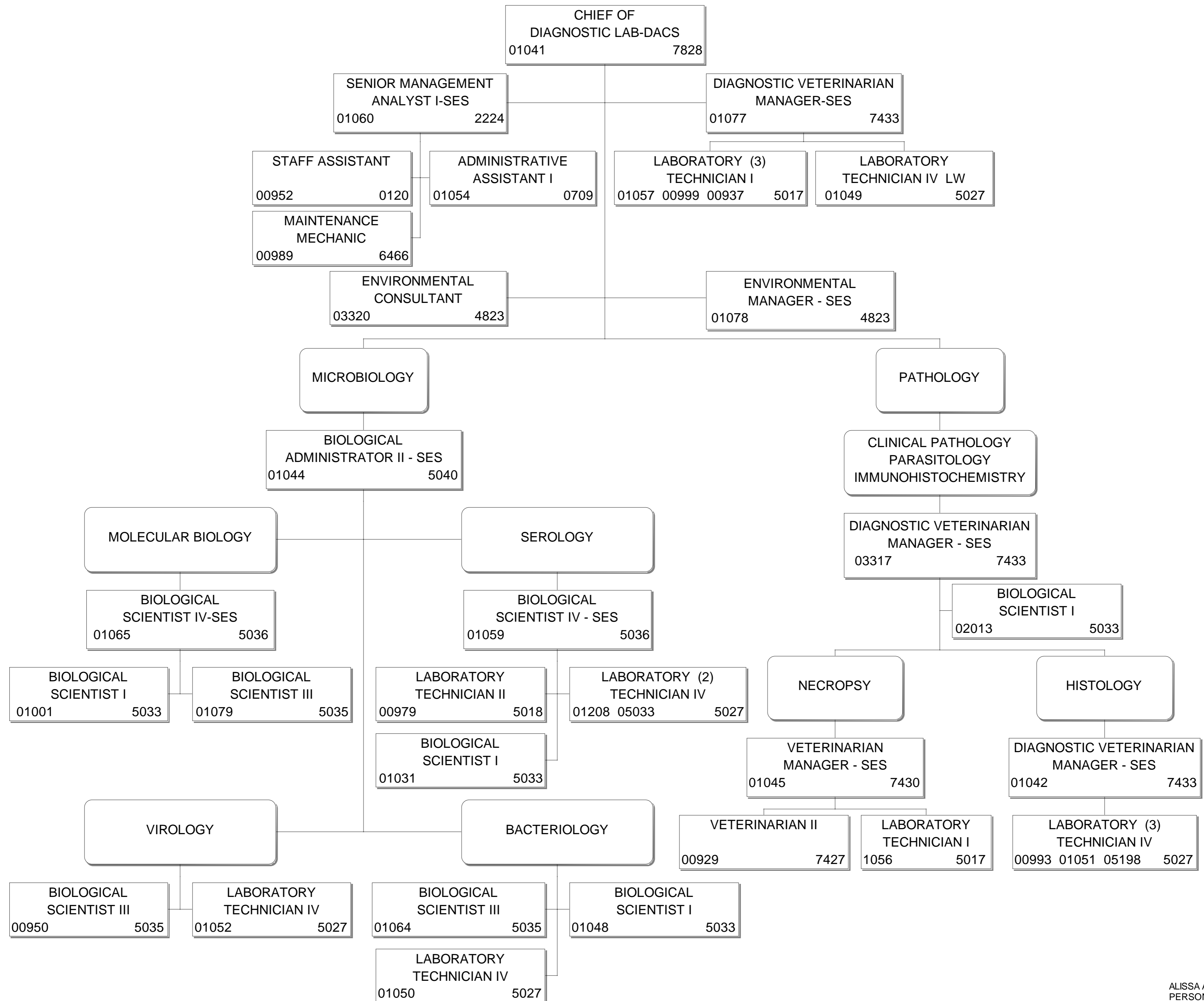
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF ANIMAL INDUSTRY**

BUREAU OF ANIMAL DISEASE CONTROL  
PAGE 4 OF 4



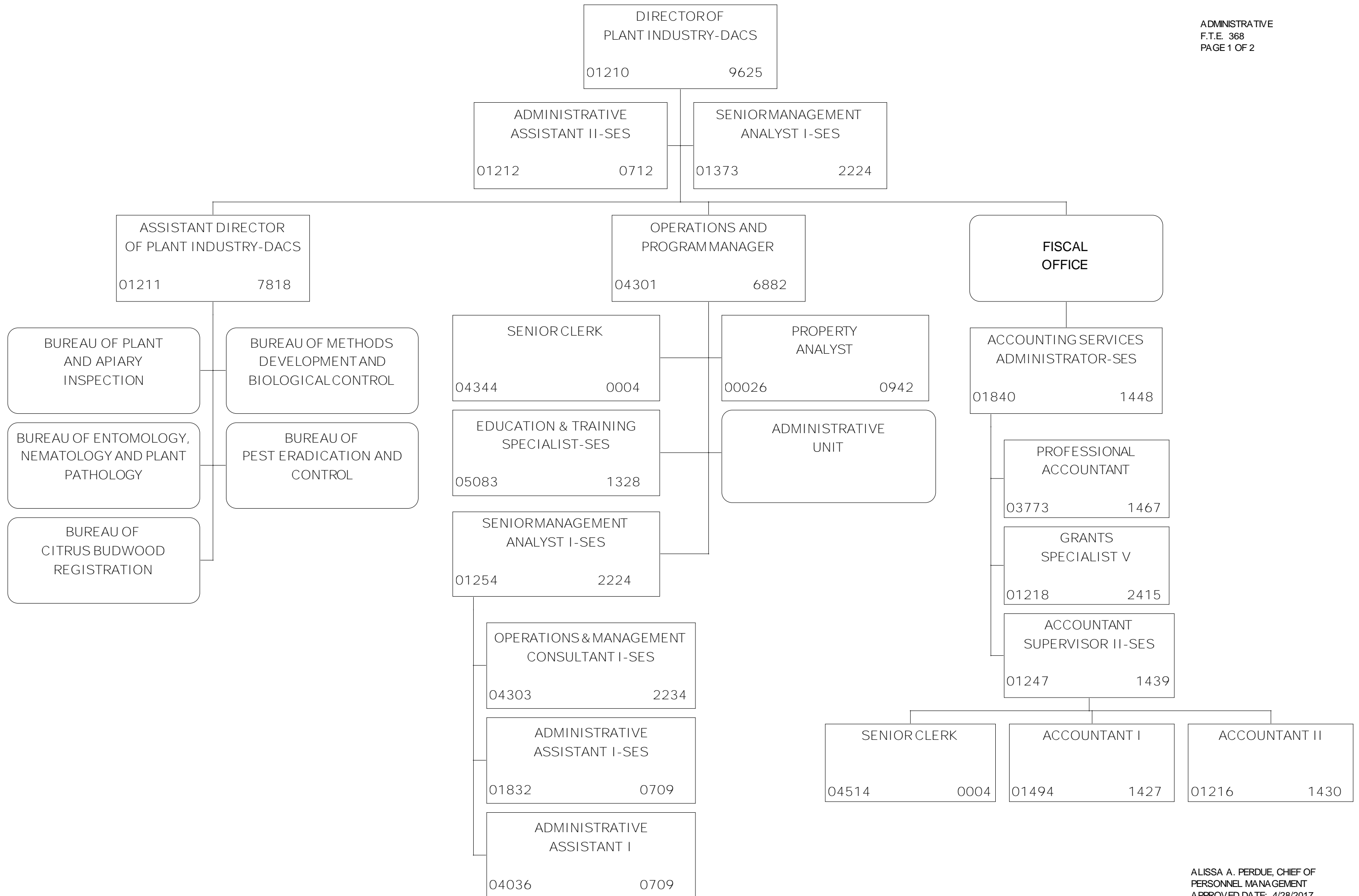
ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 4/25/2014

**DEPARTMENT OF AGRICULTURE  
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DIVISION OF ANIMAL INDUSTRY**



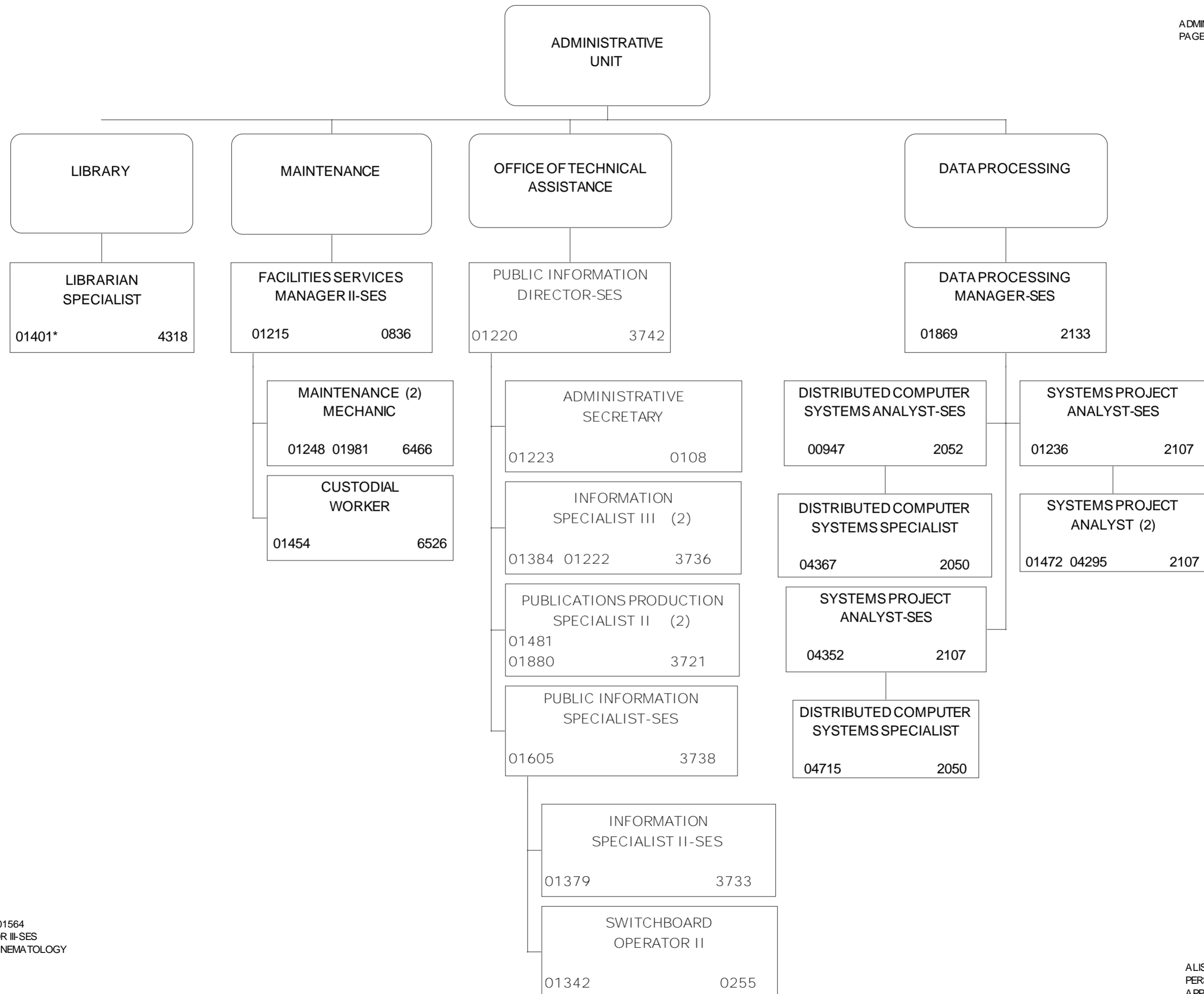
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

ADMINISTRATIVE  
F.T.E. 368  
PAGE 1 OF 2



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

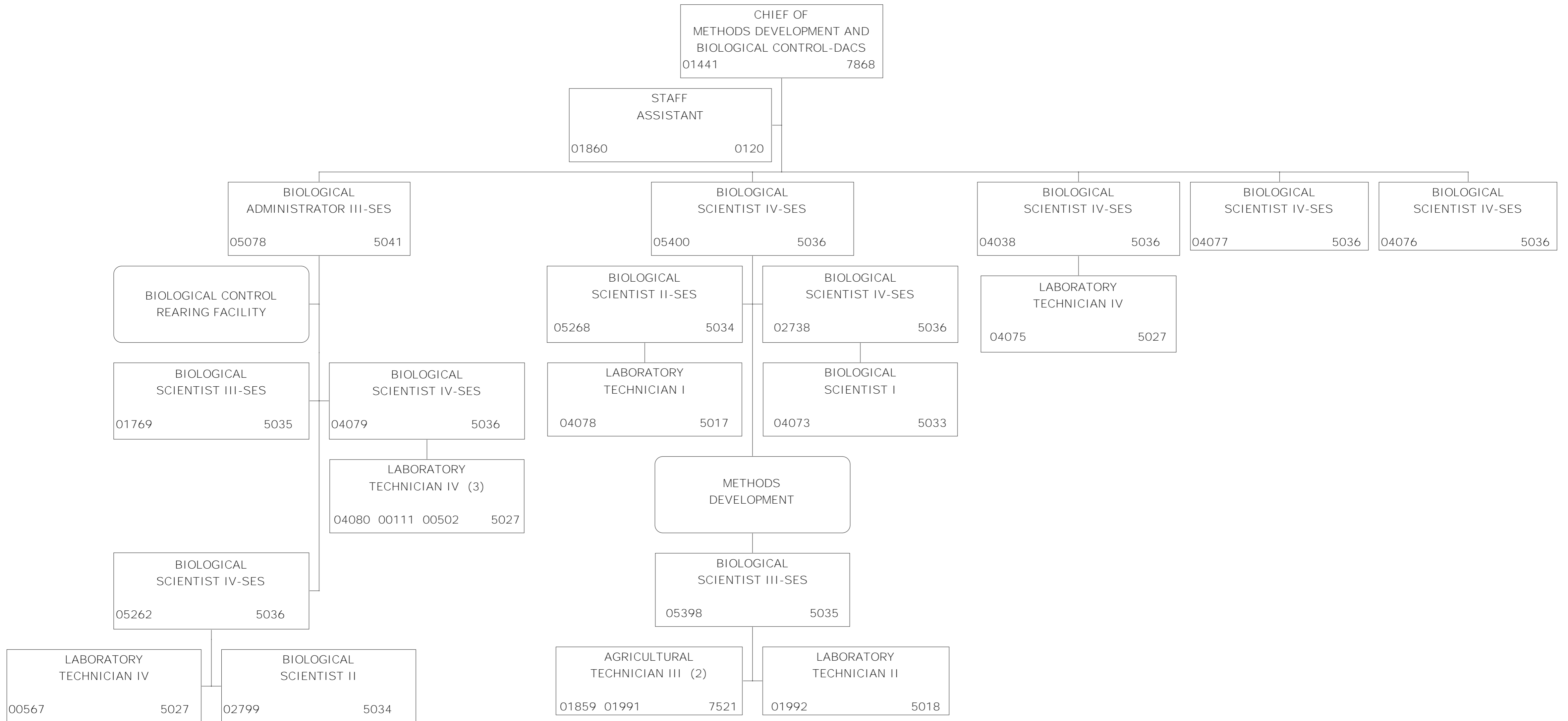
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PAGE 2 OF 2



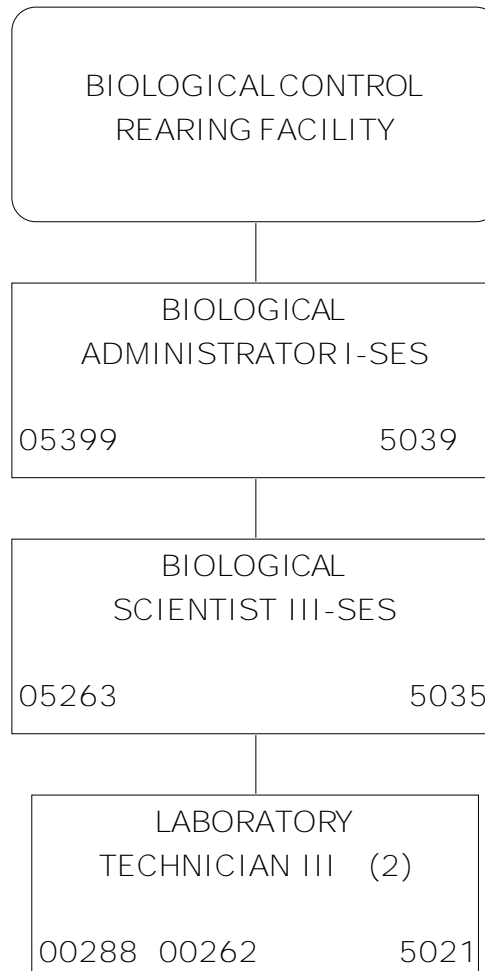
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BIOLOGICAL ADMINISTRATOR II-SES  
BUREAU OF ENTOMOLOGY, NEMATOLOGY  
AND PLANT PATHOLOGY

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 3/3/2017

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

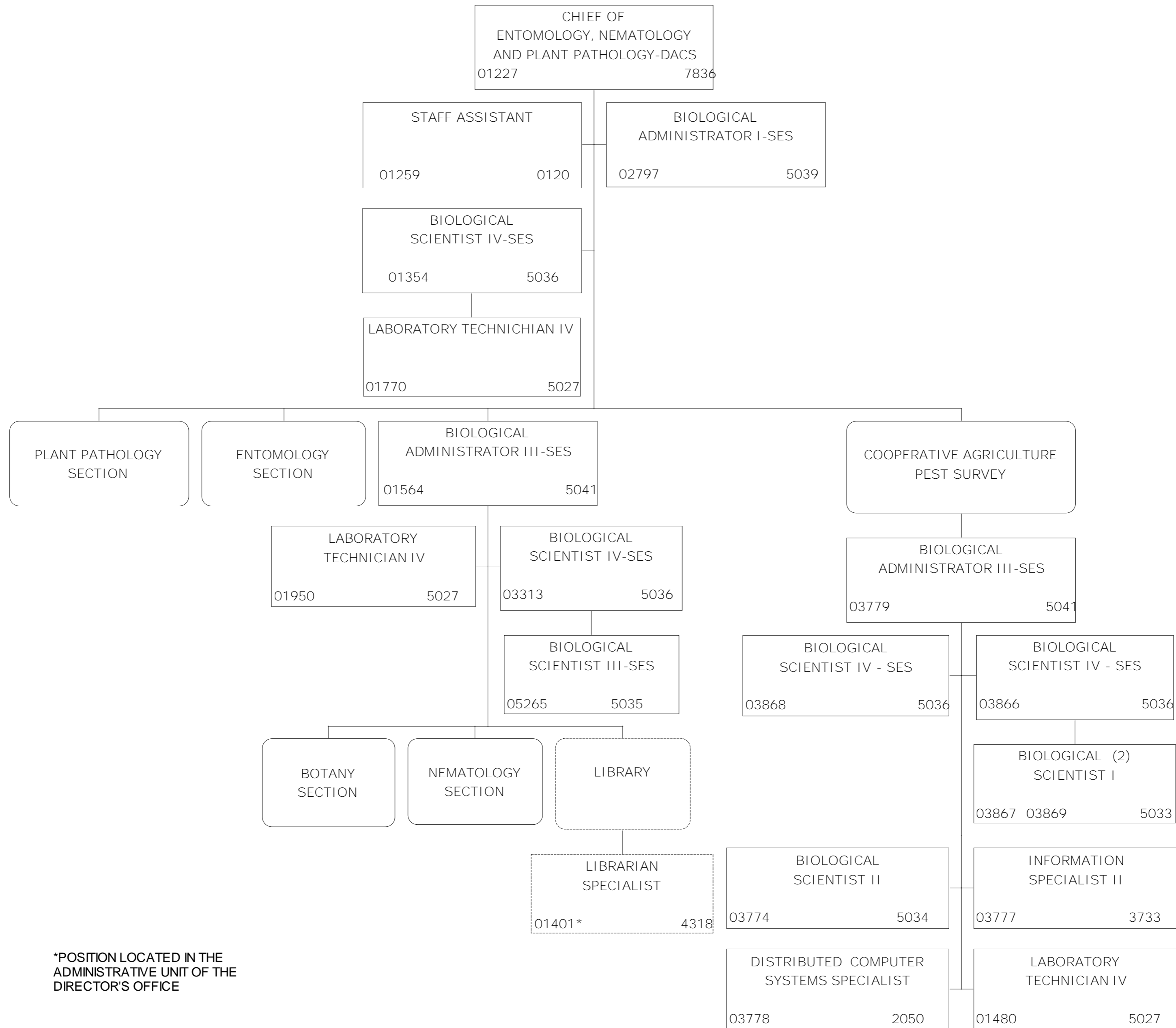


BUREAU OF METHODS DEVELOPMENT  
AND BIOLOGICAL CONTROL  
PAGE 2 OF 2

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 7/1/2017

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

BUREAU OF ENTOMOLOGY, NEMATOLGY &  
PLANT PATHOLOGY  
PAGE 1 OF 4

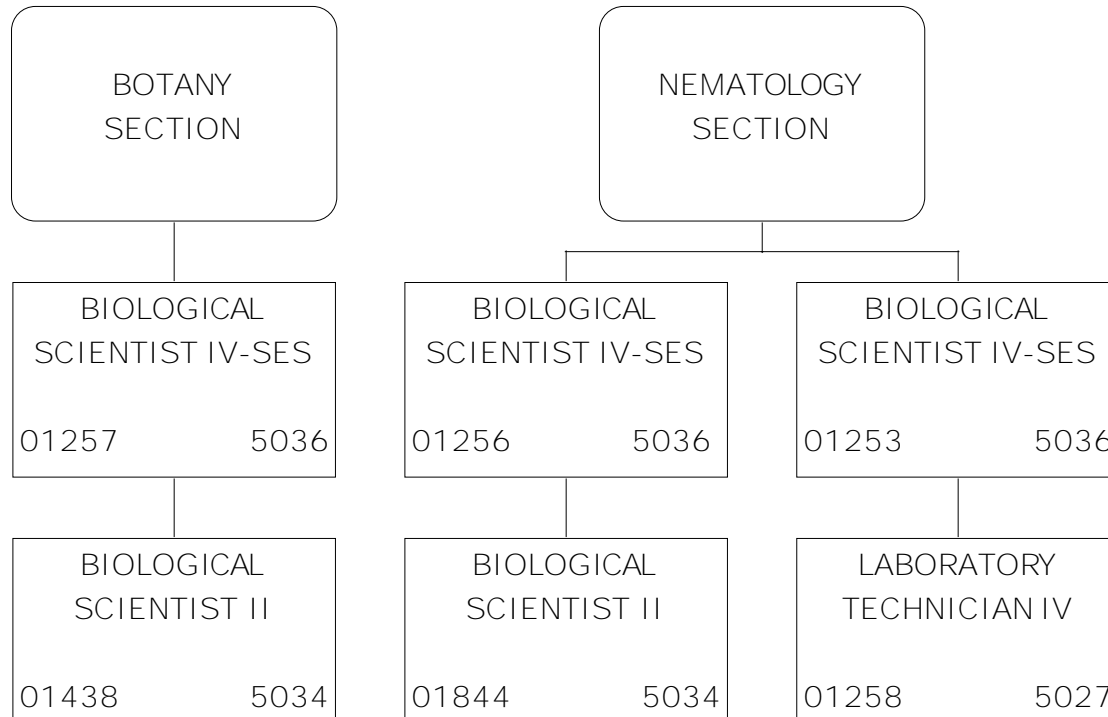


\*POSITION LOCATED IN THE ADMINISTRATIVE UNIT OF THE DIRECTOR'S OFFICE



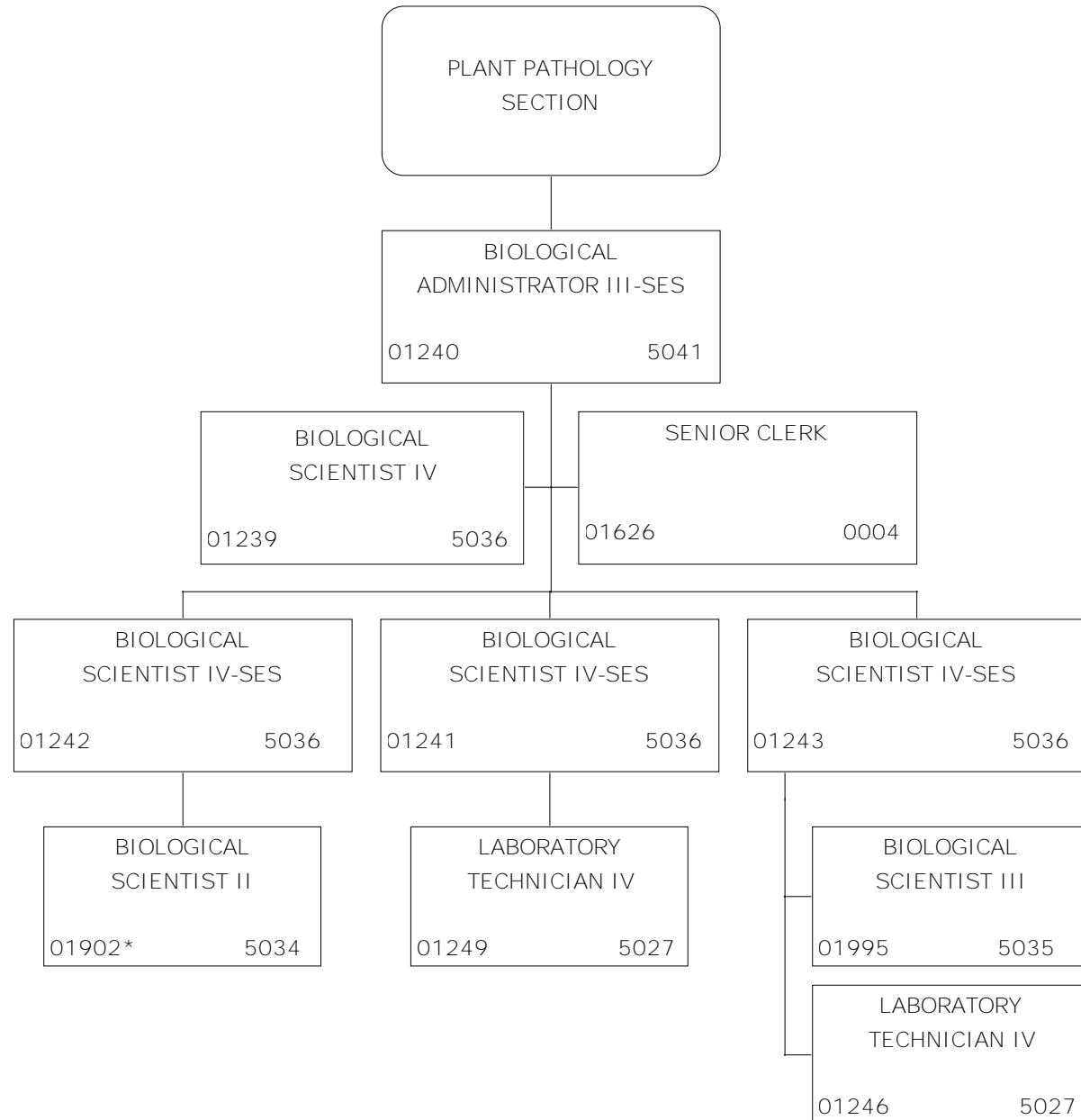
**DEPARTMENT OF AGRICULTURE  
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DIVISION OF PLANT INDUSTRY**

BUREAU OF ENTOMOLOGY, NEMATOLOGY &  
PLANT PATHOLOGY-NEMATOLOGY & BOTANY  
PAGE 2 OF 4



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

BUREAU OF ENTOMOLOGY, NEMATOLOGY &  
PLANT PATHOLOGY-PLANT PATHOLOGY SECTION  
PAGE 3 OF 4

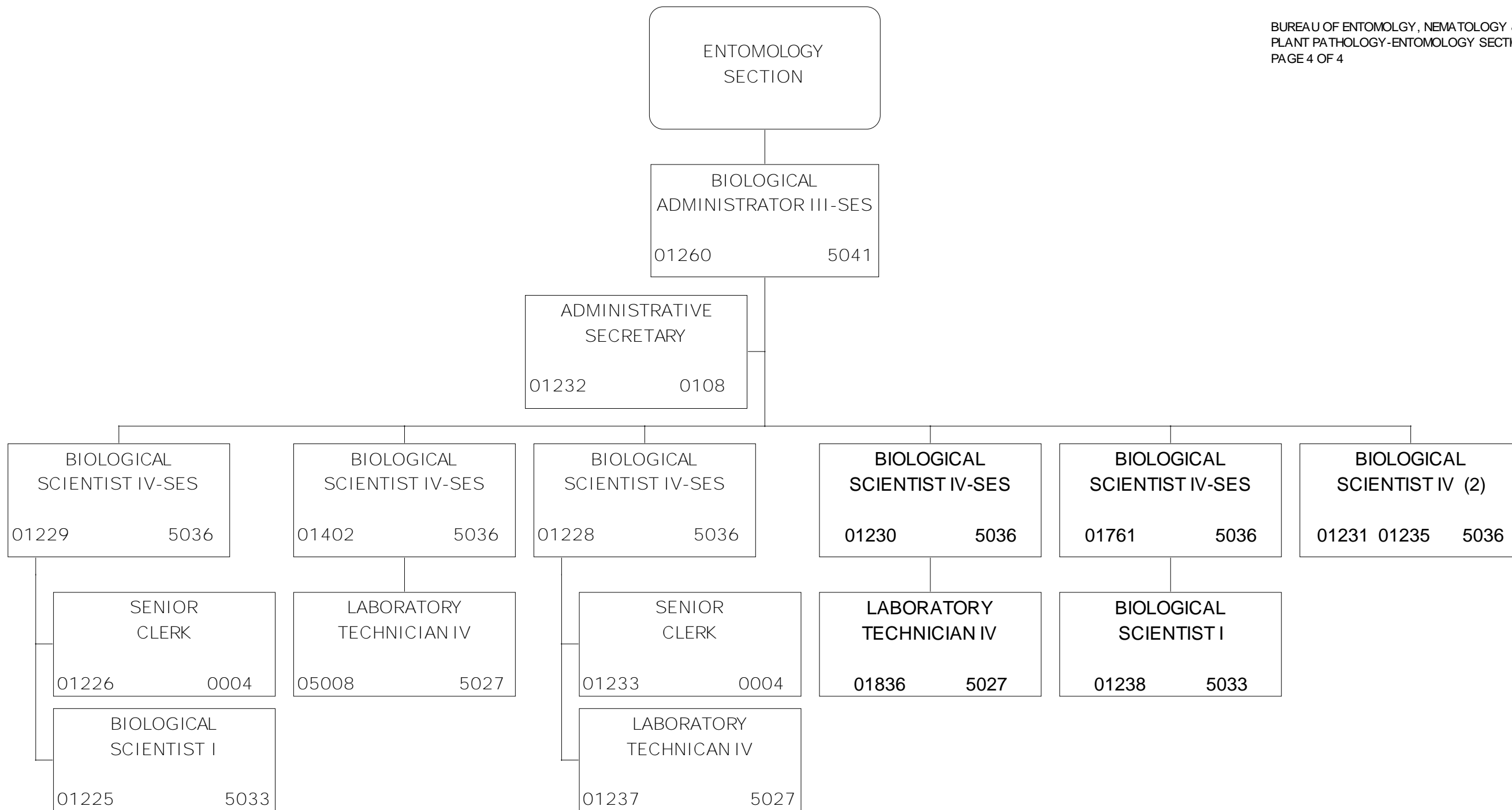


\* FUNDED FROM BUREAU OF PEST  
ERADICATION AND CONTROL

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 12/30/2016

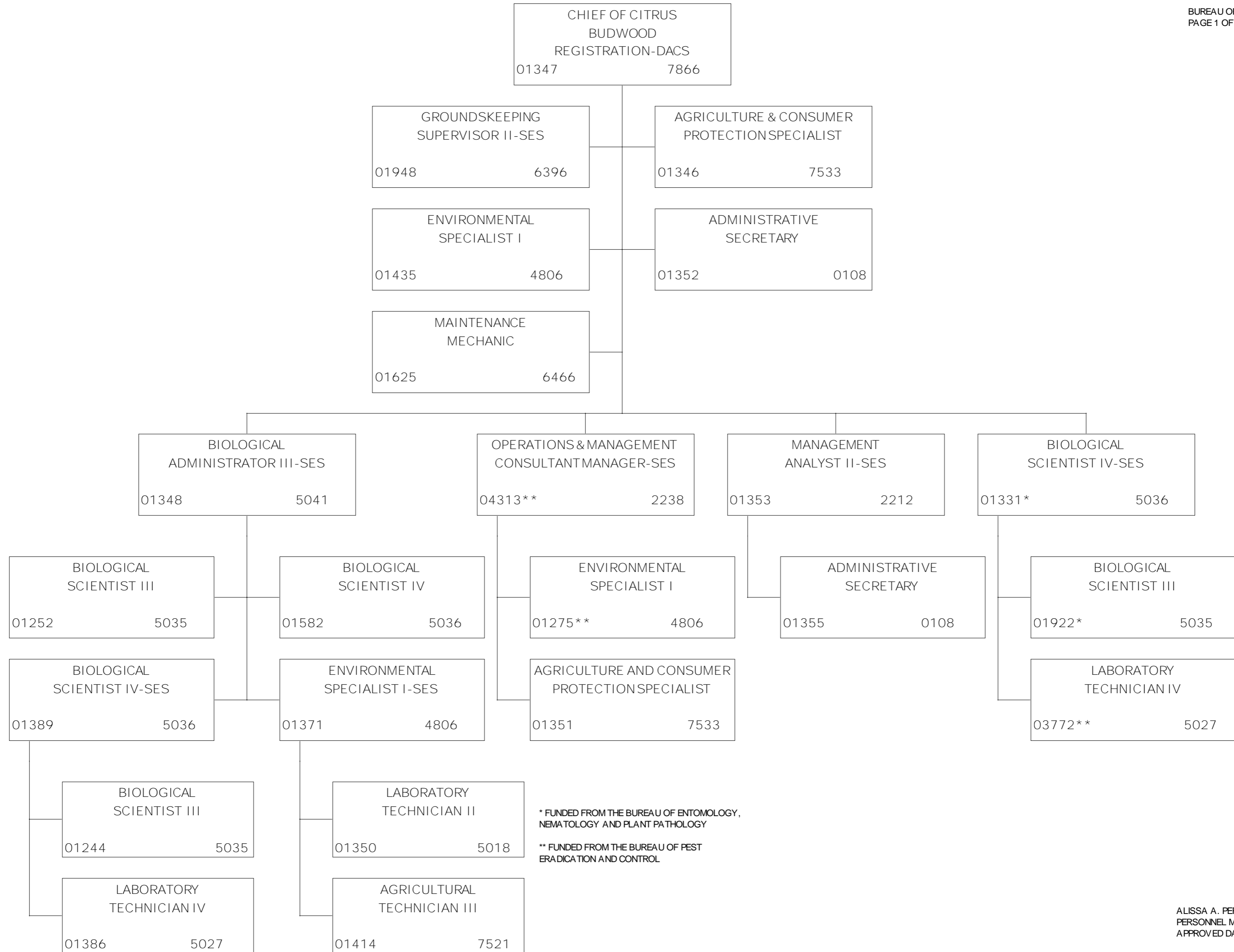
**DEPARTMENT OF AGRICULTURE  
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DIVISION OF PLANT INDUSTRY**

BUREAU OF ENTOMOLGY, NEMATOLOGY &  
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PAGE 4 OF 4

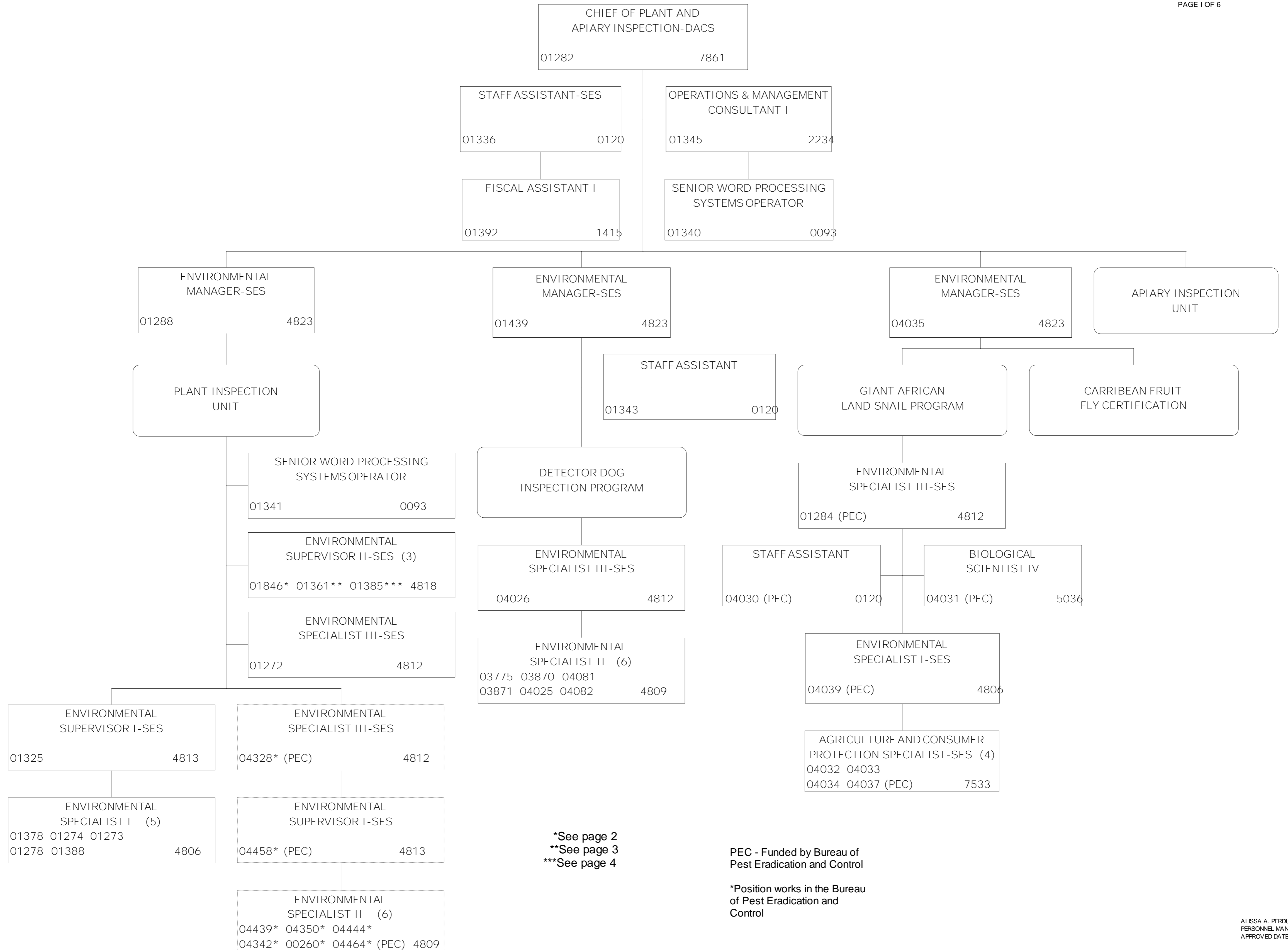


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 2/24/2017

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**



**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**



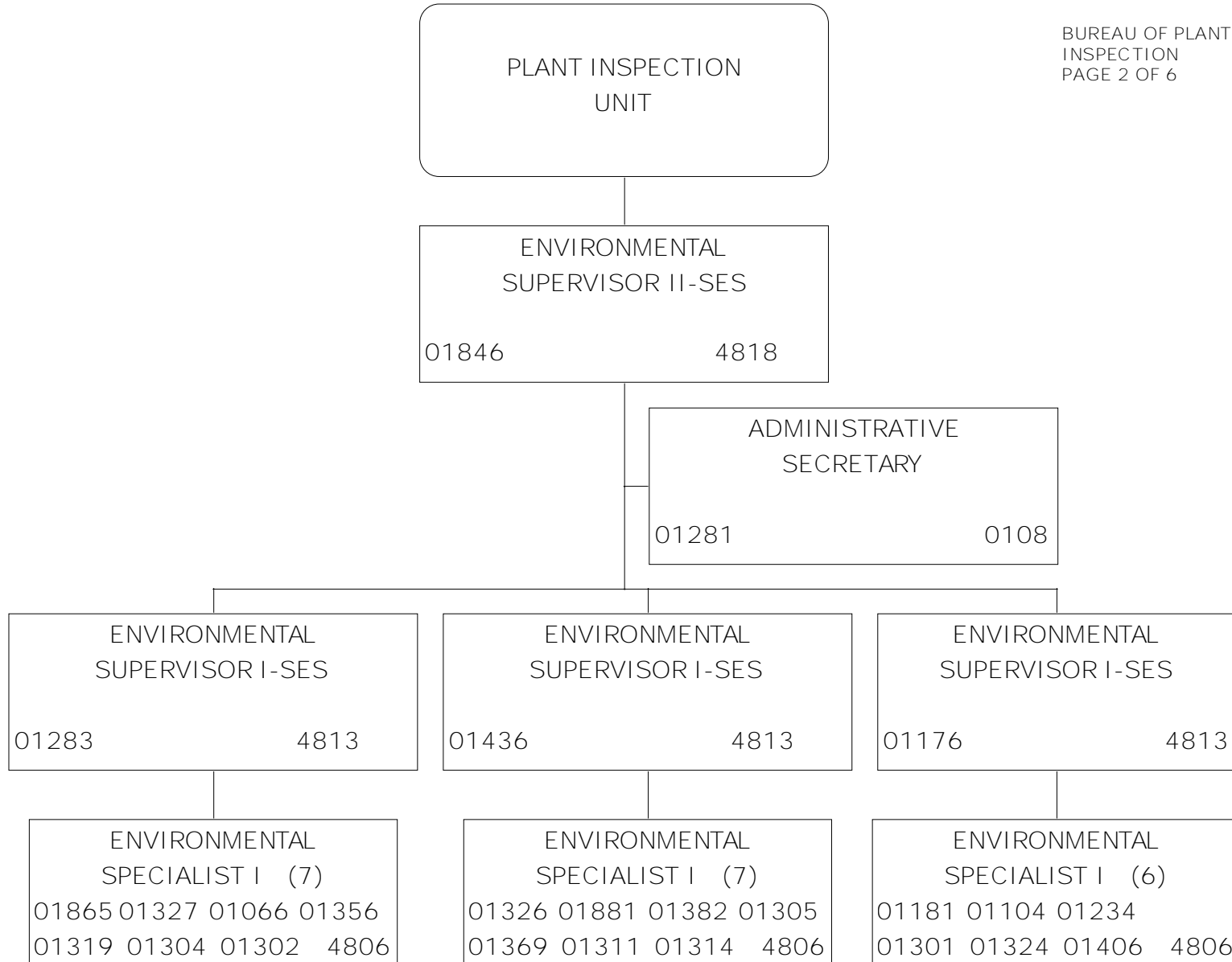
\*See page 2  
\*\*See page 3  
\*\*\*See page 4

PEC - Funded by Bureau of Pest Eradication and Control

\*Position works in the Bureau of Pest Eradication and Control

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

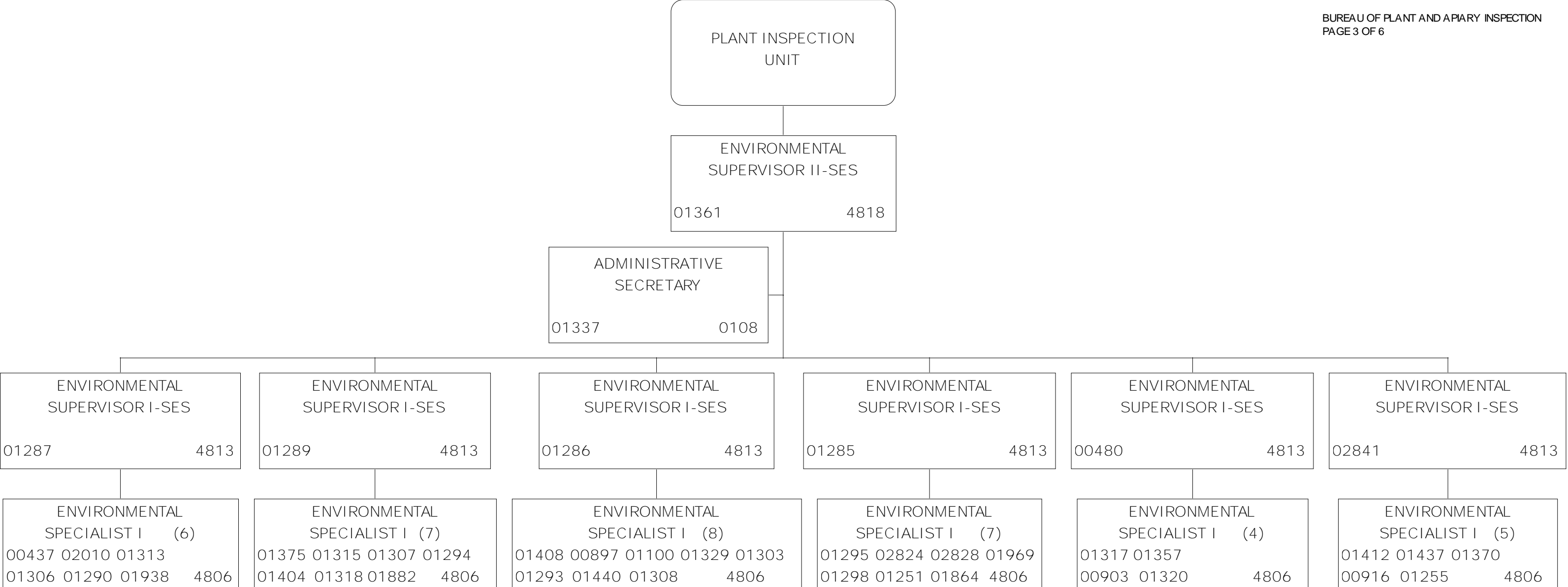
BUREAU OF PLANT AND APIARY  
INSPECTION  
PAGE 2 OF 6



**ALISSA A. PERDUE,**  
CHIEF OF  
PERSONNEL  
MANAGEMENT  
APPROVED DATE:  
6/8/2012

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

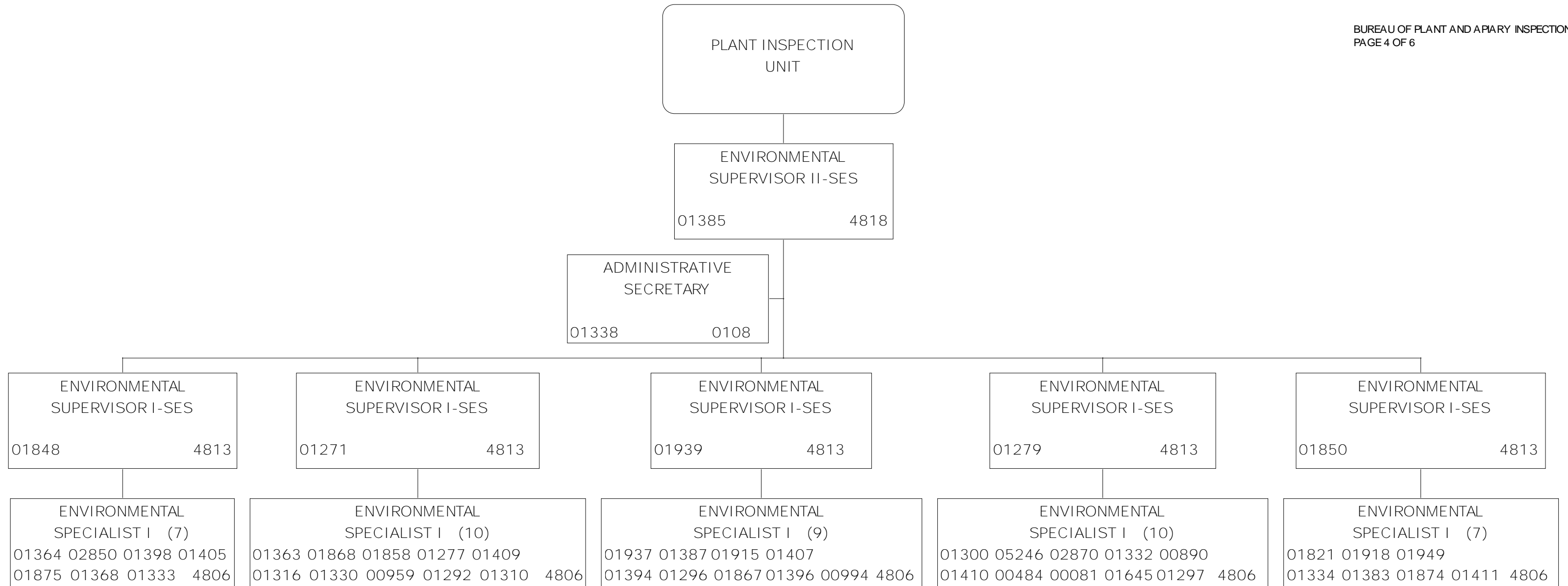
BUREAU OF PLANT AND APIARY INSPECTION  
PAGE 3 OF 6



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 5/14/2013

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

BUREAU OF PLANT AND APARY INSPECTION  
PAGE 4 OF 6

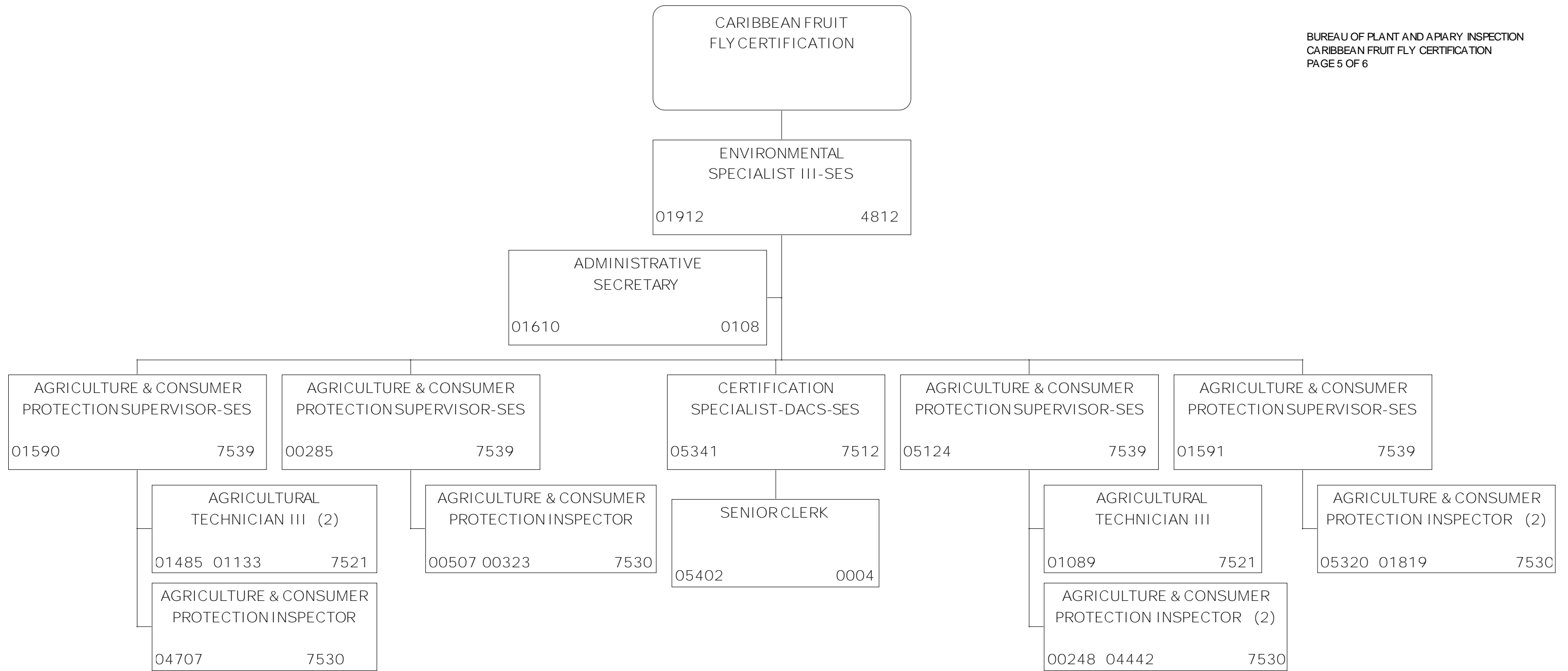


ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 8/30/2013



**DEPARTMENT OF AGRICULTURE  
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DIVISION OF PLANT INDUSTRY**

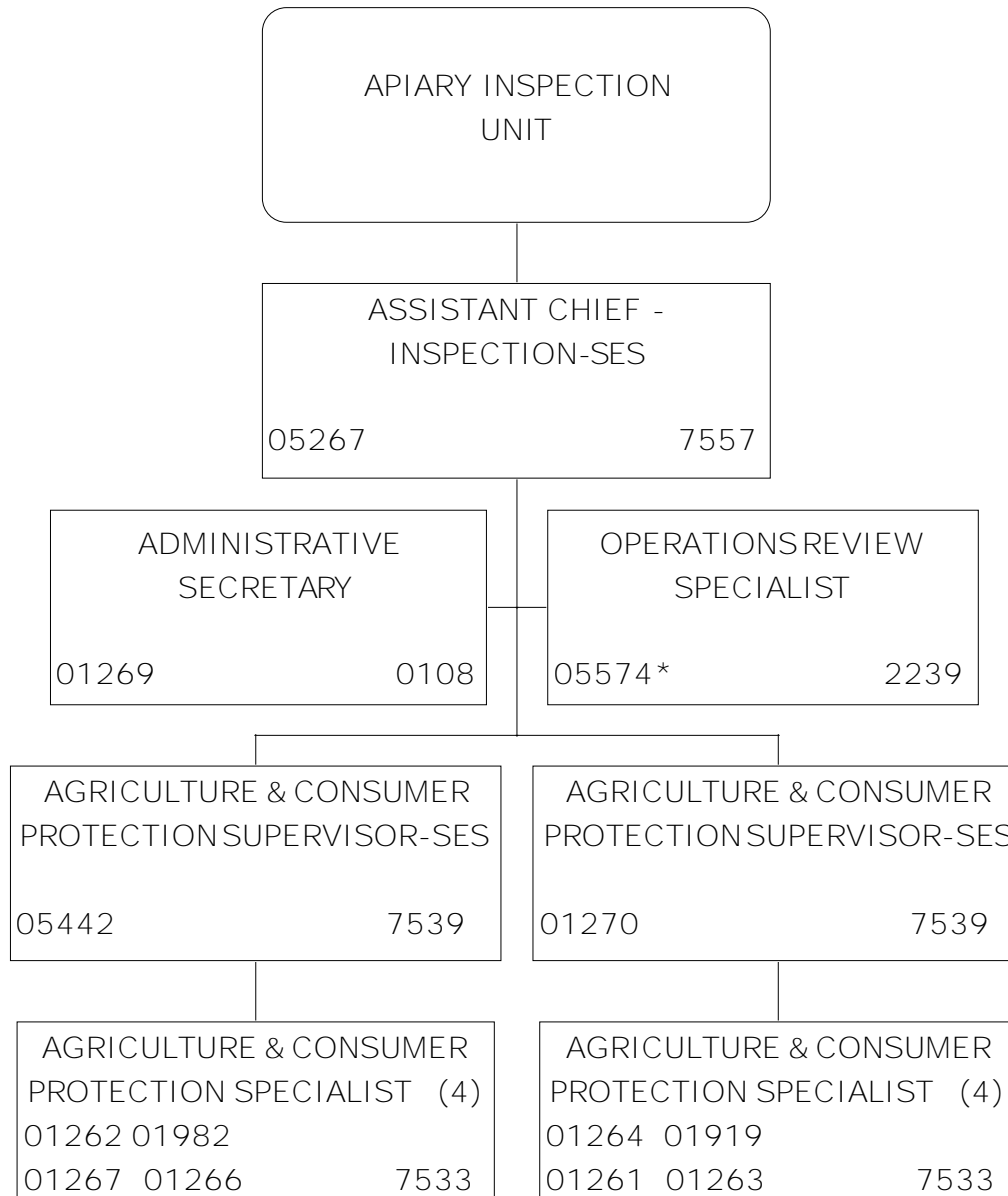
BUREAU OF PLANT AND APIARY INSPECTION  
CARIBBEAN FRUIT FLY CERTIFICATION  
PAGE 5 OF 6



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 7/1/2011

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

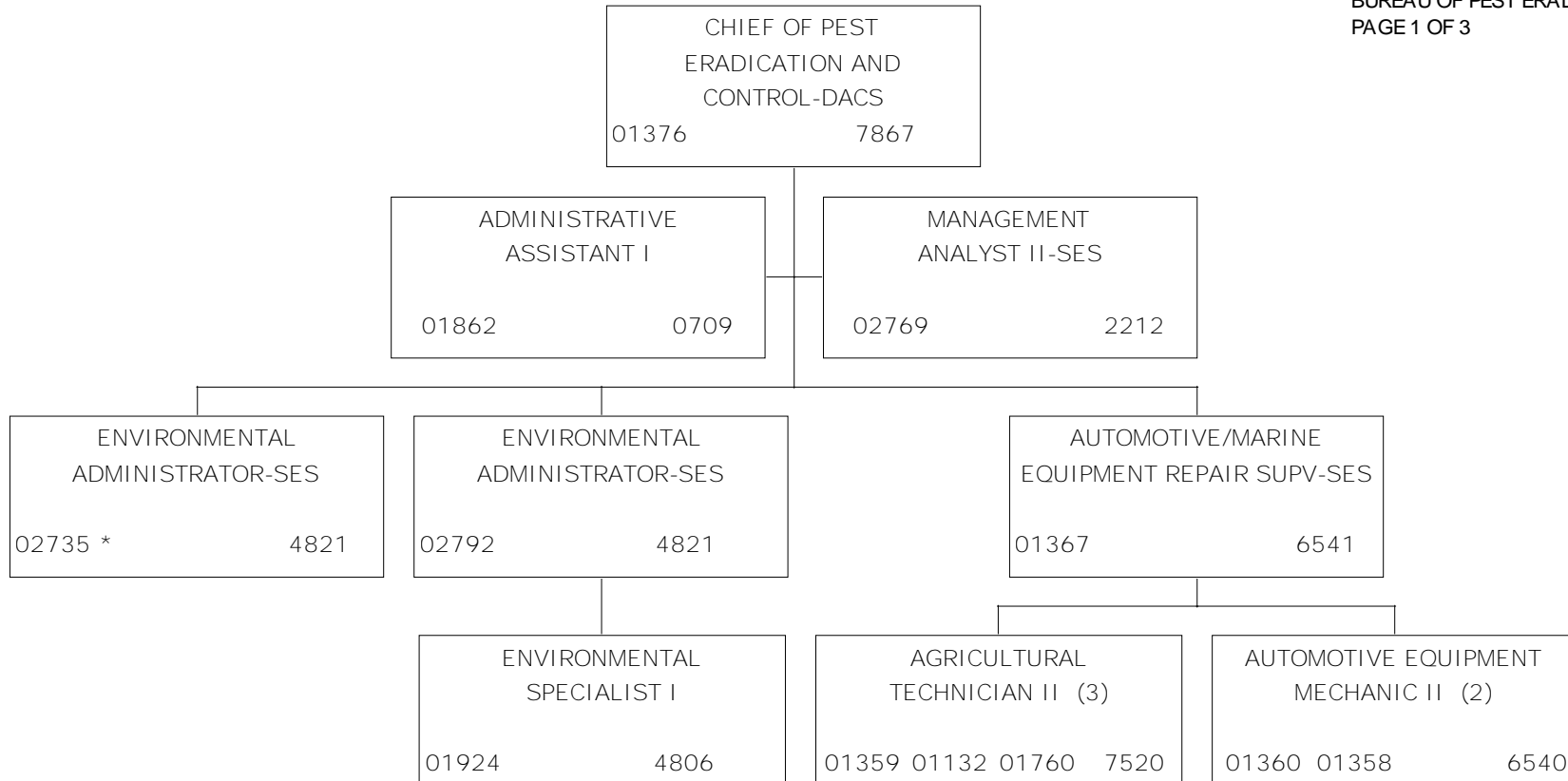
BUREAU OF PLANT AND APIARY INSPECTION  
PAGE 6 OF 6



\* FUNDED BY OFFICE OF AGRICULTURAL WATER POLICY

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DIVISION OF PLANT INDUSTRY**

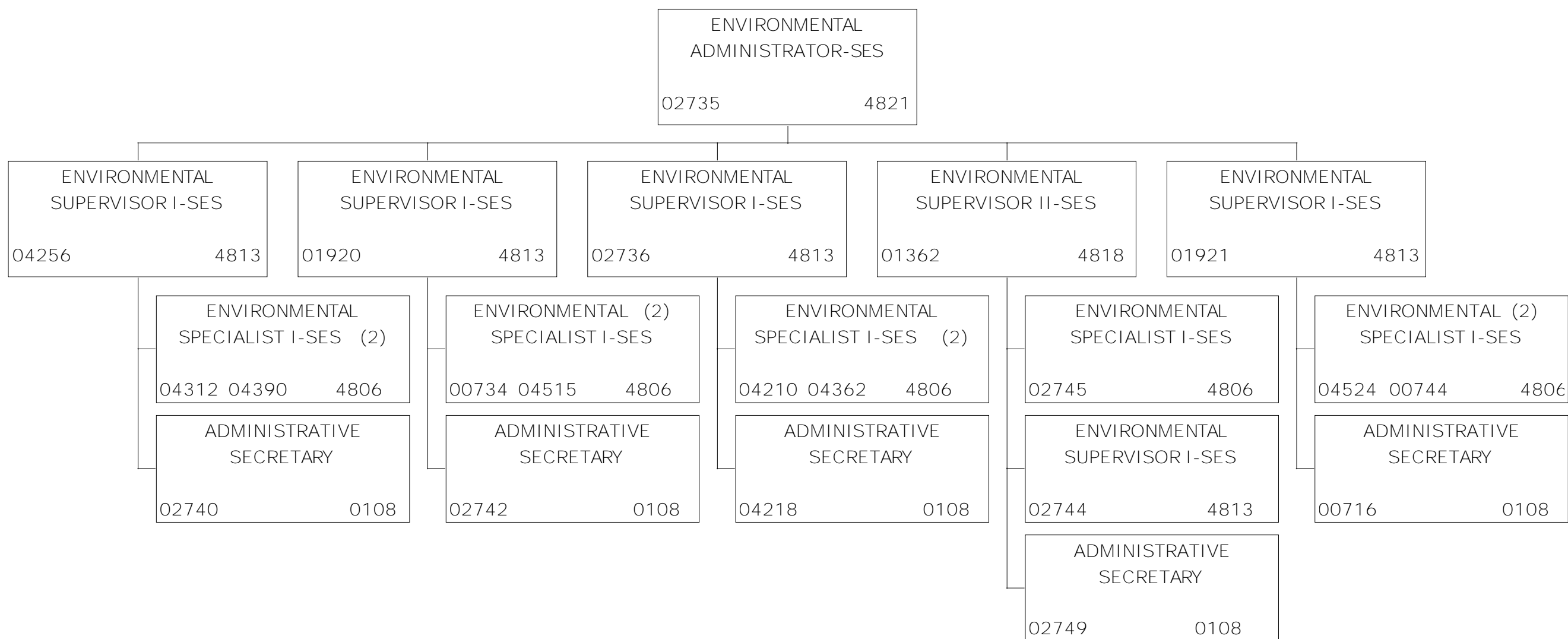
BUREAU OF PEST ERADICATION & CONTROL  
PAGE 1 OF 3



\* See page 2

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

BUREAU OF PEST ERADICATION & CONTROL  
PAGE 2 OF 3



ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 10/28/2011

**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF PLANT INDUSTRY**

BUREAU OF PEST ERADICATION & CONTROL  
PAGE 3 OF 3

ENVIRONMENTAL MANAGER-SES	
01288*	4823

ENVIRONMENTAL SPECIALIST III-SES	
04328	4812

ENVIRONMENTAL SUPERVISOR I-SES	
04458	4813

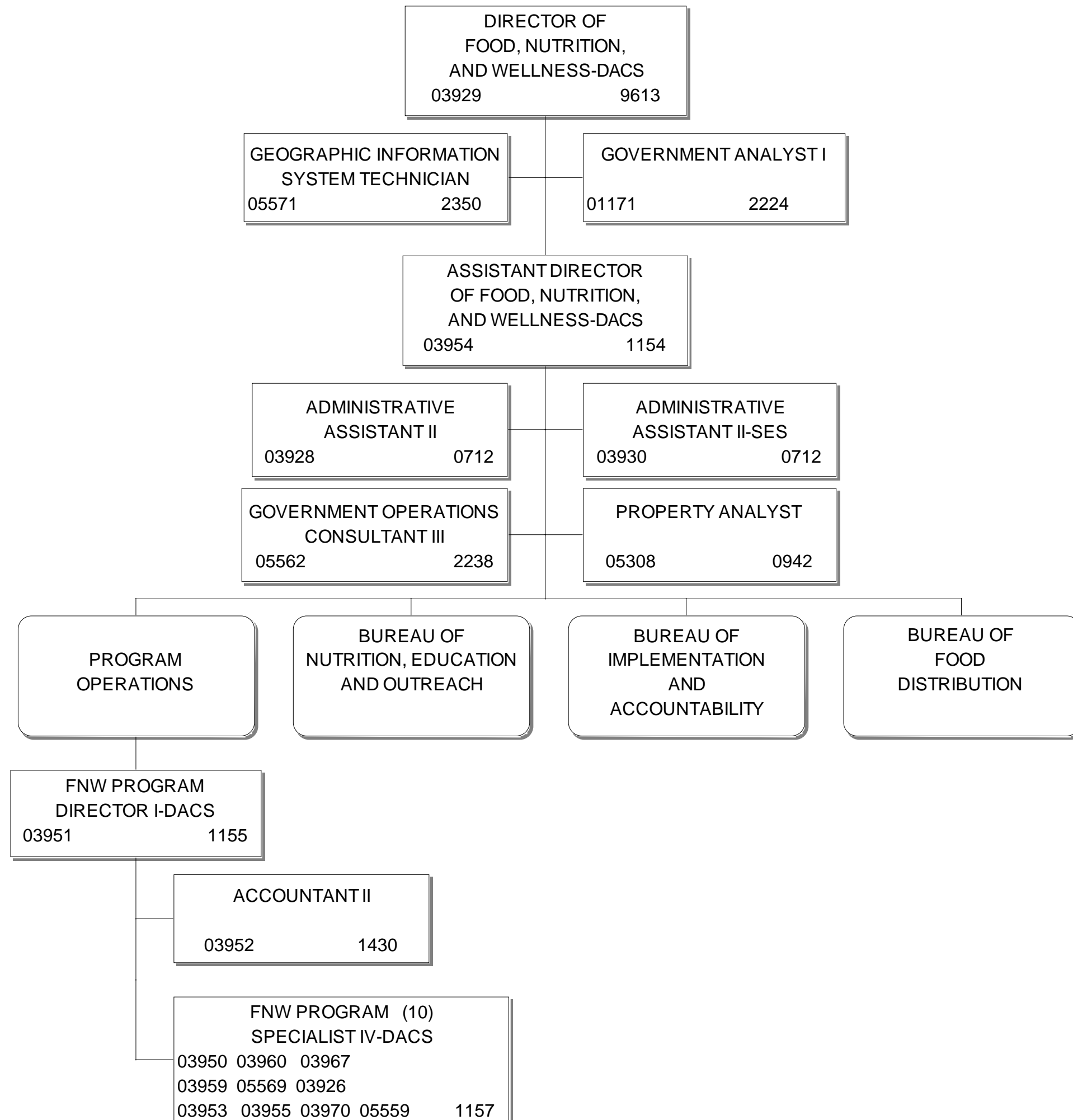
ENVIRONMENTAL SPECIALIST II (6)	
04439 04350 04444	
04342 00260 04464	4809

\*Position located in the  
Bureau of Plant and Apiary  
Inspection

ALISSA A. PERDUE, CHIEF OF  
PERSONNEL MANAGEMENT  
APPROVED DATE: 11/10/2010

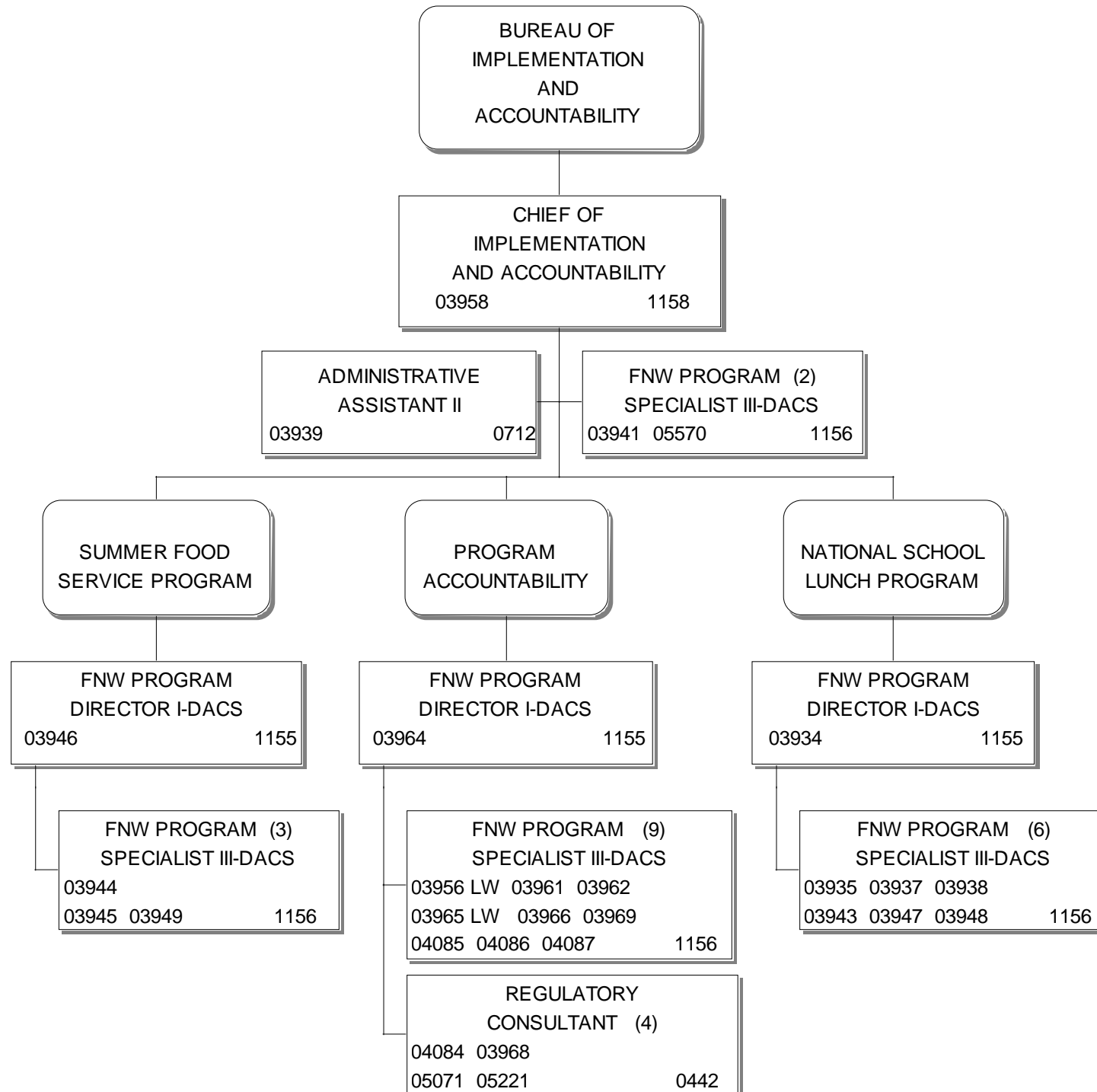
**DEPARTMENT OF AGRICULTURE  
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DIVISION OF  
FOOD, NUTRITION AND WELLNESS**

DIVISION FTE: 83  
PAGE 1 OF 1



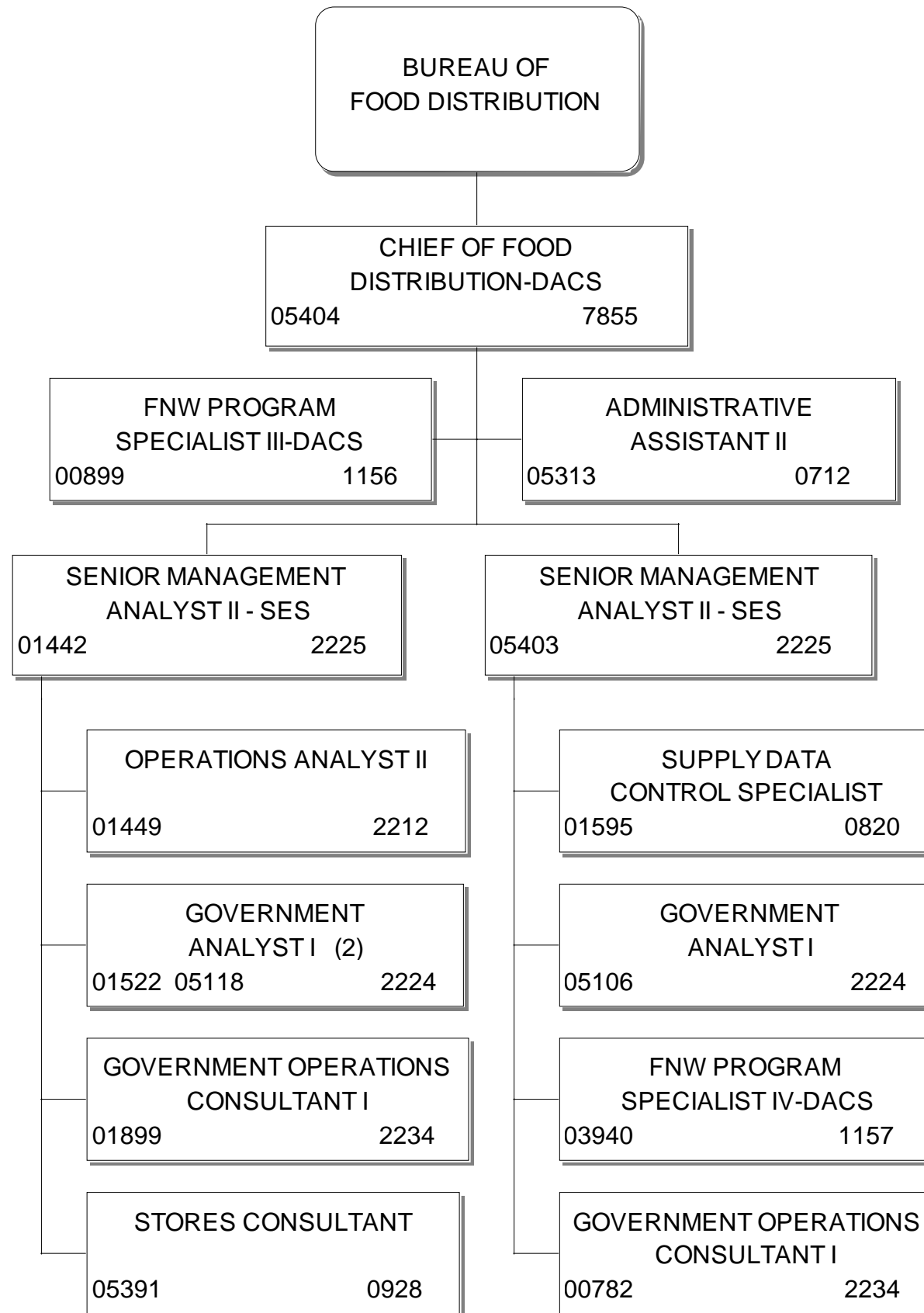
**DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES  
DIVISION OF  
FOOD, NUTRITION AND WELLNESS**

BUREAU OF IMPLEMENTATION  
AND ACCOUNTABILITY  
PAGE 1 OF 1



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

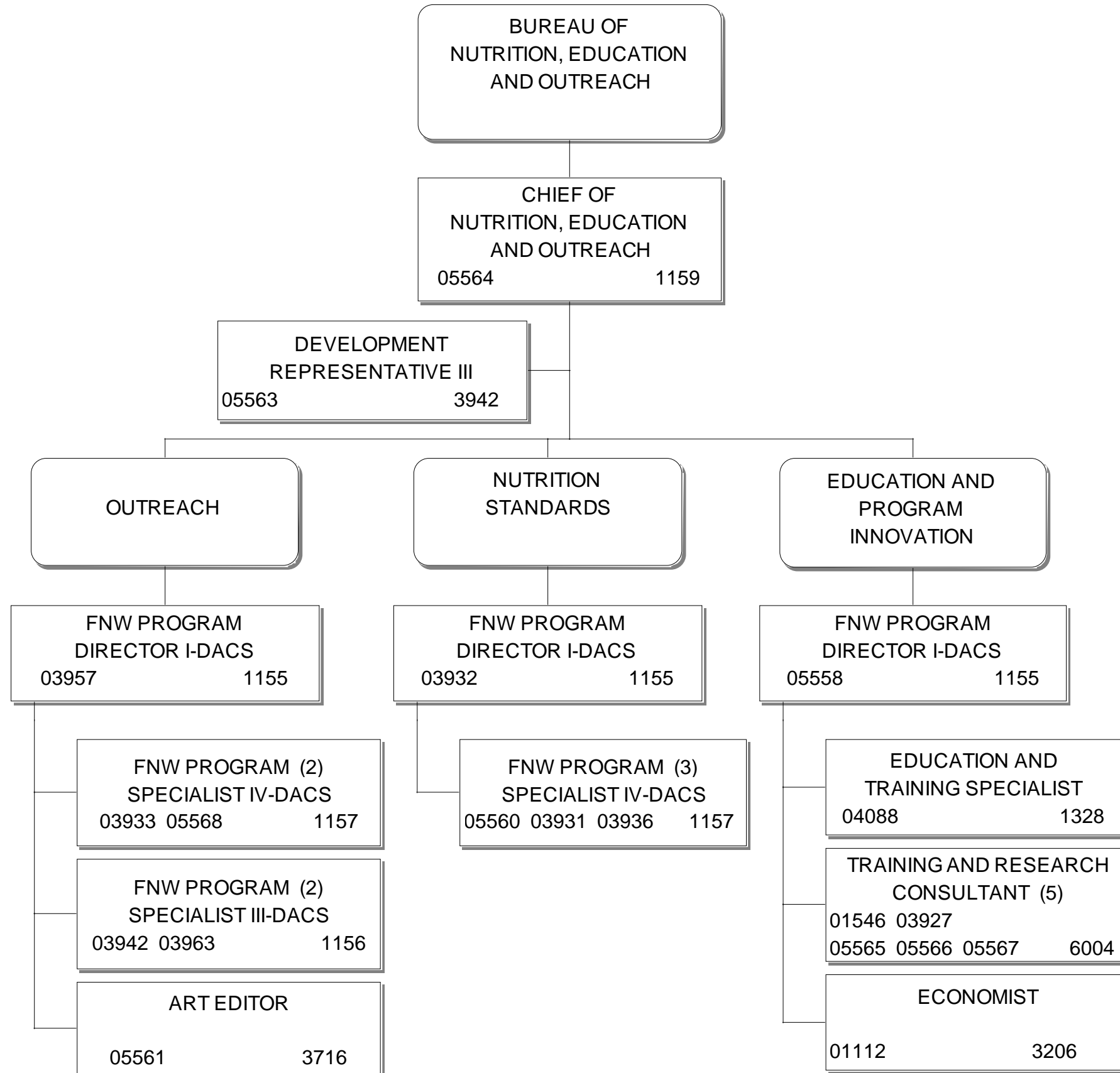
BUREAU OF FOOD DISTRIBUTION  
PAGE 1 OF 1





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

BUREAU OF NUTRITION,  
EDUCATION AND OUTREACH  
PAGE 1 OF 1



AGRICULTURE AND CONSUMER SERVICES, DEPARTMENT OF, AND		FISCAL YEAR 2016-17			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT			1,655,990,997	102,015,283	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)			26,558,635	-7,085,474	
FINAL BUDGET FOR AGENCY			1,682,549,632	94,929,809	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					48,582,937
Provide Assists To Consumers (call center) * Number of assists provided to consumers by the call center		322,354	5.55	1,787,866	
Conduct Petrol Field, Liquefied Petrol Gas Facilities, And Amusement Ride Safety Inspections Test And Analyze Petrol Production * Number of regulated devices, entities, and products that are inspected or tested for compliance		602,947	23.10	13,929,163	
Register, License, Or Permit Department Regulated Entities * Number of regulated entities registered by the Division of Consumer Services		139,285	30.18	4,203,265	
State Forest Resource Management *		1,138,388	21.67	24,671,121	
Provide Technical Assists To Non-Industrial Forest Landowners * Number of hours spent providing forest-related technical assists to non-industrial private landowners		54,672	61.40	3,356,664	
Visitor Service / Recreation * The number of State Forest visitors		2,192,902	1.58	3,467,281	
Capital Improvements * Number of hours spent on capital improvement projects		186,241	95.00	18,642,111	
Provide Land Management Assistance To Other Agencies * Number of hours spent providing forest-related technical assists to public land management agencies		18,023	84.80	1,528,403	
Protect Acres Of Forest Land From Wildfires * Number of acres of wildlands protected from wildfires		26,679,830	2.90	77,431,010	
Licensing * NA		442,249	49.34	21,821,916	
Compliance Section * Number of Administrative Actions		42,018	72.78	3,058,080	
Regional Offices * Number of new and renewal concealed weapon/firearm licenses issued		94,482	91.37	8,632,650	
Inspect Pesticide Applicators And Dealers * Number of pesticide inspections conducted		1,893	1,370.52	2,594,402	
License Pesticide Applicators And Dealers * Number of pesticide applicators and dealers licensed		12,282	35.35	434,172	
Evaluate And Manage Pesticide Products * Number of pesticide products registered		373	2,082.26	776,694	
Register Pesticide Products * Number of pesticide products registered		17,065	39.93	681,360	
Analyze Pesticide Products * Number of pesticide sample determinations performed		160,620	9.96	1,600,483	
Inspect Pest Control Businesses And Applicators * Number of pest control businesses and applicators licensed		6,016	606.75	3,650,185	
License Pest Control Businesses And Applicators * Number of pest control businesses and applicators licensed		54,794	20.37	1,116,285	
Regulate Mosquito Control Programs * Number of people served by mosquito control activities		59	47,618.47	2,809,490	
Regulate Fertilizer Companies * Number of fertilizer inspections conducted		2,217	693.36	1,537,188	
Analyze Fertilizer Products * Number of fertilizer sample determinations		106,008	11.18	1,185,003	
Analyze Seed Companies * Number of official seed sample determinations performed		87,544	5.28	461,805	
Regulate Seed Companies * Number of seed inspections conducted		1,986	265.51	527,308	
License Feed Companies * Number of feed companies licensed		1,029	856.81	881,661	
Analyze Feed Products * Number of official feed samples collected by feed manufacturers and analyzed by certified labs for regulatory purposes		1,918	149.41	286,577	
Conduct Food Establishment Inspections * Number of inspections of food establishments and water vending machines		43,685	351.57	15,358,187	
Perform Analyses Of Food Samples * Number of food analyses conducted		24,108	164.13	3,956,862	
Perform Analyses For Chemical Residues And Pesticide Data * Number of chemical residue analyses conducted		604,090	7.57	4,575,952	
Perform Grade Evaluations On Poultry And Eggs * Tons of poultry and shell eggs graded		201,783	8.29	1,673,346	
Energy Efficiency And Renewable Energy Grants And Incentives * NUMBER OF GRANTS AND FINANCIAL INCENTIVES PROCESSED		491	5,911.83	2,902,709	1,350,000
Fuel Fleet Vehicle Rebates * Number of Natural Gas Fuel Fleet Vehicle Rebates Processed		576	10,751.59	6,192,914	
Energy And Climate Program Coordination * NUMBER OF PAGEVIEWS OF THE FLORIDA ENERGY CLEARINGHOUSE		63,452	13.11	831,580	
Inspect Shellfish Processing Plants * Number of shellfish processing plants inspections and HACCP (Hazard Analysis Critical Control Point) records reviews		1,154	557.94	643,858	
Test Water Quality * Number of acres tested		1,442,806	1.08	1,556,468	
Administer Aquaculture Certification Program * Number of certifications issued to first-time applicants or renewed		1,152	493.60	568,626	
Administer Shellfish Lease Program * Number of Submerged Land Leases		691	120.81	83,480	
Conduct Oyster Planting Activities * Cubic yards of cultch deposited to restore habitat on public oyster reefs		26,744	70.36	1,881,615	4,680,000
Conduct Regulatory Investigations * Number of complaints investigated upon referral from the Division of Consumer Protection		2,652	1,377.81	3,653,939	
Increase In Number Of New Sites Providing Free Meals In The Summer Food Service Program * Increase in the number of sites serving meals and the number of meals served to children in the Summer Food Service Program		15,861,153	2.63	41,768,052	
Conduct Law Enforcement Investigations * Number of law enforcement investigations initiated		796	4,154.92	3,307,317	
Agriculture State Law Enforcement - Commodity Interdiction * Number of vehicles inspected at agricultural interdiction stations		11,477,070	1.42	16,278,706	
Capture Bills Of Lading * Number of Bills of Lading transmitted to the Department of Revenue from Agricultural Interdiction Stations		57,989	47.35	2,745,968	
Develop And Implement Best Management Practices (bmp's) For Agricultural Industry * Number of acres in the Northern Everglades and Estuaries Protection Program area enrolled annually, through Notices of Intent, in Agricultural Water Policy Best Management Practices programs		191,410	76.07	14,559,974	15,000,000
Assist Implementation Of 1999 Watershed Restoration Act * Number of acres outside the Northern Everglades and Estuaries Protection Program area enrolled annually, through Notices of Intent, in Agricultural Water Policy Best Management Practices programs		370,452	69.55	25,765,363	5,103,856
Develop Water Policy * Number of water policy assists provided to agricultural interests		3,192	143.33	457,503	
Assist Mobile Irrigation Laboratory Conservation Programs * Number of gallons of water potentially conserved annually by agricultural operations pursuant to site-specific recommendations provided by participating Mobile Irrigation Labs		5,100,000,000	0.00	285,940	
Assist Soil And Water Conservation Districts * Number of soil and water conservation districts assisted		63	3,630.97	228,751	
Inspect Dairy Establishments And Collect Samples * Number of dairy establishment inspections and samples collected		1,162	942.45	1,095,131	
Perform Sample Analyses * Number of analyses conducted on Florida Milk Regulatory Program samples		27,815	18.10	503,334	
Inspect Dairy Tankers And Evaluate Bulk Milk Sample Collectors * Number of dairy tankers inspected and bulk milk sample collectors evaluated		513	177.25	90,931	
Conduct Florida Agriculture Promotion Campaign (fapc) And Related Promotional Activities * Number of buyers reached with agricultural promotion campaign messages		56,813,168	0.15	8,674,233	
Provide Education & Communications * Number of media items produced for promotional and educational purposes		1,089	1,240.94	1,351,380	
Conduct State Farmers Market Program * Number of leased square feet at state farmers' markets		1,866,556	2.10	3,915,729	1,042,000
Conduct Agriculture/Seafood/ Aquaculture Assists * Number of marketing assists provided to producers and businesses		328,164	26.43	8,674,234	
Conduct Citrus Packing House And Processing Inspections * Number of tons of citrus inspected		3,463,877	1.25	4,334,641	
Conduct Shipping And Receiving Point Vegetable Inspections And Regulate Imports In Applicable Areas Upon Request * Number of tons of vegetables inspected		696,399	4.31	2,999,791	
Conduct Terminal Market Inspections Upon Request Of Shippers/Receivers * Number of tons of fruits and vegetables inspected		51,138	33.54	1,714,921	
Inspect Plants For Plant Pests, Disease Or Grade And Service Exotic Fruit Fly Traps * Number of plant, fruit fly trap, and honeybee inspections performed		856,434	38.89	33,267,933	
Identify Plant Pests * Number of plant, soil, insect and other organism samples processed for identification or diagnosis		807,653	4.64	3,745,538	
Certify Citrus Fly-free * Number of cartons of citrus certified as fly-free for export		1,959,829	0.83	1,627,738	
Develop Control Methods And Rear Biocontrol Agents * NA		5,381,059	0.51	2,730,839	
Release Sterile Fruit Flies * Number of sterile med flies released		4,354,695,831	0.00	1,171,750	
Inspect Citrus Trees For Crop Forecast And Pest Detection * Number of commercial citrus acres surveyed for citrus diseases		264,846	1.04	274,924	
Inspect Apiaries * Number of honey bee inspections performed		587,500	1.80	1,057,476	2,000,000
Register Citrus Budwood * NA		11,658	107.26	1,250,383	510,000
Certify Nurseries As Imported Fire Ant Free * NA		3,657	35.97	131,543	
Prevent, Control And Eradicate Animal Diseases * Number of animal tests and/or vaccinations performed on animals		81,563	94.71	7,724,896	7,358,016
Inspect Livestock On Farms/Ranches For Sanitary/Humane Conditions * Number of animal site inspections performed		13,313	191.80	2,553,427	
Identify The Origin And Health Status Of Imported Animals * Number of animals covered by health certificates		199	4,072.84	810,494	
TOTAL				440,050,439	85,626,809
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS				1,158,604,732	9,303,000
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER				2,067,584	
REVERSIONS				81,827,053	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				1,682,549,808	94,929,809

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

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

**Agency:** Florida Department of Agriculture and Consumer Services

**Contact:** Derek Buchanan, Director

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

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2017 contain revenue or expenditure estimates related to your agency?

Yes  No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2018-2019 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 2018-2019 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Rural and Family Lands	B	\$ 20,000,000	\$ 75,000,000
b	Land Management	B	\$ 1,119,832	\$ 11,281,150
c	Lake Okeechobee Restoration Projects	B	\$ 9,300,000	\$ 15,000,000
d	Agricultural Nonpoint Source Best Management Practices	B	\$ 3,800,000	\$ 10,000,000
e	Forestry Wildfire Prevention Equipment	B	\$ 3,700,000	\$ 11,397,500
f	Florida Agricultural Promotional Campaign	B	\$ 2,900,000	\$ 5,000,000
g	Water Conservation/Supply	B	\$ 1,500,000	\$ 1,500,000
i	Farm Share/Food Banks	B	\$ 4,300,000	\$ 4,000,000
j	Aquaculture Program/ARC Council List	B	\$ 500,000	\$ 735,091
k	Agricultural Promotion and Education Facilities	B	\$ 6,600,000	\$ 3,000,000
l	Agricultural Emergency Eradication Trust Fund	R	\$ 13,300,000	\$ 12,400,000
m	Citrus Greening	B	\$ 10,900,000	\$ 10,500,000
n	Agriculture and Natural Resources Critical Repairs (Life & Safety)	B	\$ 1,100,000	\$ 6,992,750

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

- Rural and Family Lands request seeks additional authority to support agricultural land protection efforts. Estimates for outstanding projects on the currently approved list exceed \$500 million.
- Land Management request is based on identified needs of the Florida Forest Service and includes state forest facility and road repairs, reforestation, fire mitigation projects, and new state forest costs.
- Lake Okeechobee Restoration projects are critical to addressing the state's on-going water quantity and quality issues.
- The department does not have any new requests in the Agricultural Nonpoint Source Best Management Practices appropriation category. We do have a statewide ag restoration project FCO request of \$10 million to address nutrient reduction and water retention projects outside of the Northern Everglades.
- Florida Forest Service Wildfire Suppression Equipment exceeds the Long Range Financial Outlook due to the harsh fire season and resulting impacts on our equipment, including aerial assets.
- The Florida Agricultural Promotion Campaign exceeds the Long Range Financial Outlook because additional funding is needed to combat the negative impacts foreign produce imports are having on Florida agricultural products.
- Aquaculture ARC Council funding request is based on a prioritized listing of research projects in accordance with section 597.005(3), Florida Statutes.
- Agricultural Promotion and Education Facilities funding is requested by separate entities. The \$3M request is for the Florida State Fair.
- The Ag Emergency Eradication Trust Fund amount is based on the August REC fuel tax estimates for FY 17-18.
- Citrus greening amount was based on 8 million in research and 2.5 million for the citrus inspection trust fund.
- Agriculture and Natural Resources Critical Repairs varies from the Long Range Financial Outlook due to identification of additional projects. Amount includes various HVAC repairs, roof repairs, and other critical repairs. (Issues 990M00 and 990C00, with the exception of the Forest Service, which is captured in the land management line above)

\* R/B = Revenue or Budget Driver

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF LICENSING  
42010400**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**

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

**Department:** 42 Agriculture and Consumer Services      **Budget Period: 2018-19**  
**Program:** 42010400 Licensing  
**Fund:** 2163 Licensing Trust Fund

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

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

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

<u>SECTION I - FEE COLLECTION</u>	<u>ACTUAL</u> <u>FY 2016-17</u>	<u>ESTIMATED</u> <u>FY 2017-18</u>	<u>REQUEST</u> <u>FY 2018-19</u>
<u>Receipts:</u>			
<u>Agency New</u>	157,122	245,000	245,000
<u>Agency Renewal</u>	368,796	547,750	547,750
<u>"D" Renewal</u>	1,888,374	1,835,585	1,835,585
<u>"D" New</u>	1,574,145	1,476,203	1,476,203
<u>"G" / "K" Renewal</u>	726,419	705,665	705,665
<u>"G" / "K" New</u>	865,967	806,088	806,088
<u>Manager New</u>	22,992	24,783	24,783
<u>Manager Renewal</u>	58,538	57,080	57,080
<u>Recovery Agent New E/EE</u>	27,525	24,950	24,950
<u>Recovery Agent Renewal E/EE</u>	29,563	28,953	28,953
<u>P.I. New C/CC</u>	69,924	68,626	68,626
<u>P.I. Renewal C/CC</u>	285,243	274,538	274,538
<u>Application Fees 493</u>	164,051	162,089	162,089
<u>Class C Exam</u>	48,805	60,133	60,133
<u>FDLE Fingerprinting Retention Fee</u>	506,551	798,263	581,580
<u>Penalties Late Fees</u>	335,828	308,764	308,764
<u>Private Investigative Agency Misc.</u>	149,260	106,000	106,000
<u>Other Misc Fees - Copies</u>	1,355	6,000	6,000
<u>Fingerprint Fees</u>	2,374,716	2,521,297	1,977,072
<u>Fines</u>	323,465	126,305	126,305
<u>Refunds-Non-State Govt, Vendors, Employee</u>	2,606	3,505	3,505
<u>Tenant Broker Commission</u>	8,166	41,623	41,623
<u>Property Transfers In, Sale Surplus Prop</u>	878	-	-
<u>Deferred Revenue</u>	165 of 1491	(1,622,099)	(1,125,809)

<b>Total Fee Collection to Line (A) - Section III</b>	<b>9,990,288</b>	<b>8,607,101</b>	<b>8,342,483</b>
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<b><u>SECTION II - FULL COSTS</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>

**Direct Costs:**

Salaries and Benefits	4,605,974	4,500,000	4,600,000
Other Personal Services	171,532	150,000	150,000
Expenses	1,185,679	1,200,000	1,200,000
Operating Capital Outlay	86,825	80,000	80,000
Motor Vehicle	82,388	80,000	80,000
Contracted Services/Other	2,359,431	2,100,000	1,235,000
Insurance	11,131	21,000	21,000
Tenant Broker	3,210	13,000	13,000
State Personnel Assessment	16,752	17,000	17,000
Allocated Costs Charged to Trust Fund	967,768	950,000	950,000
<b>Total Full Costs to Line (B) - Section III</b>	<b>9,490,692</b>	<b>9,111,000</b>	<b>8,346,000</b>

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

<b><u>SECTION III - SUMMARY</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>

TOTAL SECTION I	(A)	9,990,288	8,607,101	8,342,483
TOTAL SECTION II	(B)	9,490,692	9,111,000	8,346,000
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>499,596</b>	<b>(503,899)</b>	<b>(3,517)</b>

**EXPLANATION of LINE C:**

Initial collection of FDLE fingerprint retention fees in FY 16/17 resulted in approximately \$500K of retention fees not due to until November of FY 17/18, one year after the program began, as contracted. Consequently, FY 17/18 expenditures are estimated to exceed FY 17/18 revenue by this corresponding \$500K amount.

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

**Department:** Agriculture & Consumer Services

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

**Program:** Licensing – Chapter 493

1. What recent operational efficiencies have been achieved to either decrease costs or improve services? If costs have been reduced, how much money has been saved during the fiscal year? The Department recently removed bulky non-essential paper content from all Chapter 493 new license applications as well as eliminated all leased postage meter equipment in the regional offices. These initiatives have or will save approximately \$50,000 annually in reduced printing, postage and equipment lease costs.
2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?

The Department initiated and the 2017 Legislature approved the opening of a new Broward County Regional Office to help facilitate the intense volume of concealed weapon license applicants and in doing so will also offer needed Chapter 493 license activity services in this densely populated South Florida region. The Department is also in process of re-locating the Tallahassee Regional office to a more central, convenient location for applicants.

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

Yes, the Division promotes public protection through compliance and enforcement of laws, regulations, and professional standards for persons employed in the private investigative, private security or private recovery industries. As of June 30, 2017, 176,001 individuals and businesses were licensed by the Division, under the requirements of Chapter 493, Florida Statutes.

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

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

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

Yes, the Division analyzes the fees being assessed for licenses on a regular basis. The fingerprint retention program began in FY 2016/17, with a fingerprint retention fee payable to the Florida Department of Law Enforcement (FDLE) for all Chapter 493 new applicants or renewing licensees, for fingerprint background checks, effective January 1, 2017. Prior to this new program, fees were last increased in 2008.

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

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

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

7. If the fees charged for the regulatory services or oversight to businesses or professions are **not** adequate to cover direct and indirect program costs provide either:
  - a) information regarding alternatives for realigning revenues or costs to make the regulatory service or program totally self-sufficient, including any statutory changes that are necessary to implement the alternative; or
  - b) demonstrate that the service or program provides substantial benefits to the public which justify a partial subsidy from other state funds, specifically describing the benefits to the general public (statements such as 'providing consumer benefits' or 'promoting health, safety and welfare' are not sufficient justification). For example, the program produces a range of benefits to the general public, including pollution reduction, wildlife preservation, and



improved drinking water supply. Alternatively, the agency can demonstrate that requiring self-sufficiency would put the regulated entity at an unfair advantage. For example, raising fees sufficiently to cover program costs would require so high an assessment as to damage its competitive position with similar entities in other states.

Note: The program experienced a one-time surplus of \$499,596 in the most recent 2016-17 Fiscal Year due to the collection of FDLE fingerprint retention program fees, payable to the FDLE in the following 2017-18 Fiscal Year. Correspondingly, payment of these additional fees approximating \$500K in FY 2107-18 will result in a one-time deficit of \$500K in FY 2017-18.

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

Not applicable.

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

Department: **Agriculture and Consumer Services**

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

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

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Chapter 493 Application Fee	LICENSING APPLICATION FEE-493	493.6105	\$60	1990	YES	\$50	Division of Licensing Trust Fund
Chapter 493 Fingerprint Fee	LICENSING FINGERPRINT FEE	493.6105	N/A	N/A	YES	\$42	Division of Licensing Trust Fund
Chapter 493 Fingerprint Retention Fee	LICENSING FINGERPRINT RETENTION FEE	493.6105	N/A	N/A	YES	\$10.75	Division of Licensing Trust Fund
Private Investigative Revised/Replacement	LICENSING PIA MISC	493.6202	\$30	1990	YES	\$10	Division of Licensing Trust Fund
Private Investigative Agency License	LICENSING AGENCY NEW	493.6202	\$450	1990	YES	\$450	Division of Licensing Trust Fund
Security Agency License	LICENSING AGENCY NEW	493.6302	\$450	1990	YES	\$450	Division of Licensing Trust Fund
Recovery Agency License	LICENSING AGENCY NEW	493.6402	\$450	1990	YES	\$450	Division of Licensing Trust Fund
Private Investigative Agency Branch License	LICENSING AGENCY NEW	493.6202	\$125	1990	YES	\$125	Division of Licensing Trust Fund
Security Agency Branch License	LICENSING AGENCY NEW	493.6302	\$125	1990	YES	\$125	Division of Licensing Trust Fund
Recovery Agency Branch License	LICENSING AGENCY NEW	493.6402	\$125	1990	YES	\$125	Division of Licensing Trust Fund
Private Investigative Agency License Renewal	LICENSING AGENCY RENEWAL	493.6202	\$450	1990	YES	\$450	Division of Licensing Trust Fund
Security Agency License Renewal	LICENSING AGENCY RENEWAL	493.6302	\$450	1990	YES	\$450	Division of Licensing Trust Fund
Recovery Agency License Renewal	LICENSING AGENCY RENEWAL	493.6402	\$450	1990	YES	\$450	Division of Licensing Trust Fund
Private Investigative Branch License Renewal	LICENSING AGENCY RENEWAL	493.6202	\$125	1990	YES	\$125	Division of Licensing Trust Fund
Security Agency Branch License Renewal	LICENSING AGENCY RENEWAL	493.6302	\$125	1990	YES	\$125	Division of Licensing Trust Fund
Recovery Agency Branch License Renewal	LICENSING AGENCY RENEWAL	493.6402	\$125	1990	YES	\$125	Division of Licensing Trust Fund
Security Officer School/Security Officer Instructor Renewal	LICENSING D RENEWAL FEE	493.6302	\$60	1990	YES	\$60	Division of Licensing Trust Fund
Security Officer License Renewal	LICENSING D RENEWAL FEE	493.6302	\$45	1990	YES	\$45	Division of Licensing Trust Fund
Security Officer/Rec School, Security Officer/Rec Instructor Lic	LICENSING D NEW LICENSE	493.6302	\$60	1990	YES	\$60	Division of Licensing Trust Fund
Security Officer License	LICENSING D NEW LICENSE	493.6302	\$45	1990	YES	\$45	Division of Licensing Trust Fund
Statewide Firearm License Renewal	LICENSING G RENEWAL	493.6107	\$150	1990	YES	\$112	Division of Licensing Trust Fund
Firearms Instructor License Renewal	LICENSING K RENEWAL	493.6107	\$100	1990	YES	\$100	Division of Licensing Trust Fund
Statewide Firearm License	LICENSING G NEW LICENSE	493.6107	\$150	1990	YES	\$112	Division of Licensing Trust Fund
Firearms Instructor License	LICENSING K NEW LICENSE	493.6107	\$100	1990	YES	\$100	Division of Licensing Trust Fund
Manager-Private Inv, Security and Rec Agency License	LICENSING MANAGER NEW	493.6107	\$75	1990	YES	\$75	Division of Licensing Trust Fund
Manager-Private Inv, Security and Rec Agency License Ren	LICENSING MANAGER RENEWAL	493.6107	\$75	1990	YES	\$75	Division of Licensing Trust Fund
Recovery Agent License	LICENSING RECOVERY AGENT NEW E/EE	493.6402	\$75	1990	YES	\$75	Division of Licensing Trust Fund
Recovery Agent Intern License	LICENSING RECOVERY AGENT NEW E/EE	493.6402	\$60	1990	YES	\$60	Division of Licensing Trust Fund
Recovery Agent Renewal	LICENSING RECOVERY AGENT RENEWAL E/EE	493.6402	\$75	1990	YES	\$75	Division of Licensing Trust Fund
Recovery Agent Intern License Renewal	LICENSING RECOVERY AGENT RENEWAL E/EE	493.6402	\$60	1990	YES	\$60	Division of Licensing Trust Fund
Private Investigator License	LICENSING-PRIV.INVESTGTR.NEW C/CC	493.6202	\$75	1990	YES	\$75	Division of Licensing Trust Fund
Private Investigator Intern License	LICENSING-PRIV.INVESTGTR.NEW C/CC	493.6202	\$60	1990	YES	\$60	Division of Licensing Trust Fund
Private Investigator License Renewal	LICENSING-PRIV.INVESTGTR.RENEWAL C	493.6202	\$75	1990	YES	\$75	Division of Licensing Trust Fund
Private Investigator Intern License Renewal	LICENSING-PRIV.INVESTGTR.RENEWAL C	493.6202	\$60	1990	YES	\$60	Division of Licensing Trust Fund
Chapter 493 Late Fees	LICENSING LATE FEES	493.6113(4)	Amt of License Fee	1990	YES	amt of License Fee	Division of Licensing Trust Fund
Private Investigator Exam Fee	CLASS C EXAM FEE	493.6203(5)	\$100	2008	YES	\$100	Division of Licensing Trust Fund

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF FOOD SAFETY INSPECTION AND  
ENFORCEMENT  
42150200**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**

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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-19**  
**Program:** 42150200 Food Safety - Bureau of Dairy Industry  
**Fund(s):** 1000, 2321 General Revenue, General Inspection Trust Fund

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

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

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

**SECTION I - FEE COLLECTION**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
<u>Receipts:</u>						
Frozen Dessert Licenses	-	19,000	-	19,000	-	19,000
Copies of Documents	-	-	-	-	-	-
Restitution Payments	-	0	-	-	-	-
Misc. Revenue (Refunds, Other)	-	337	-	-	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>-</b>	<b>19,337</b>	<b>-</b>	<b>19,000</b>	<b>-</b>	<b>19,000</b>

**SECTION II - FULL COSTS**

<u>Direct Costs:</u>						
Salaries and Benefits	1,070,332	1,363	1,100,000		1,100,000	
Expenses	200,835	246	215,000		215,000	
Other Personal Services	10,002		10,000		10,000	
Contracted Services	56,946	891	39,100		39,100	
Operating Capital Outlay	52,406	319	10,500		10,500	
Data Processing		40,342		45,000		50,000
General Revenue S/C		1,547		1,600		1,600
Risk Management Insurance	18,769		18,800		18,800	
HR Costs	6,572		6,600		6,600	
Indirect Costs Charged to Trust Fund - DO	4,721	153,657		155,000		160,000
Administrative Overhead		116,506		120,000		125,000
Refund of State Revenue						
<b>Total Full Costs to Line (B) - Section III</b>	<b>1,420,583</b>	<b>314,871</b>	<b>1,400,000</b>	<b>321,600</b>	<b>1,400,000</b>	<b>336,600</b>

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

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	-	19,337	-	19,000	-	19,000
TOTAL SECTION II	(B)	1,420,583	314,871	1,400,000	321,600	1,400,000	336,600
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(1,420,583)</b>	<b>(295,534)</b>	<b>(1,400,000)</b>	<b>(302,600)</b>	<b>(1,400,000)</b>	<b>(317,600)</b>

**EXPLANATION of LINE C:**

Expenditures in this document represent expenditures for the Bureau of Dairy Industry which includes the Bureau's Administrative Office, the Dairy Inspection Section and the Dairy Compliance Monitoring Section. The activities of the Bureau are directly related to the regulation of the Dairy Industry in Florida under the requirements of Chapter 502, Florida Statutes. The primary beneficiary of these activities are the citizens of Florida (ensuring a safe and wholesome milk, milk product and frozen dessert supply) and the Florida Dairy Industry itself for being able to move their products in interstate commerce unimpeded by other states' regulations. Charging fees to cover the total costs in the Bureau of Dairy Industry would put the Florida Dairy Industry at a disadvantage with the other states in the Southeast Region that Florida competes with. None of these states are fee-funded. Using the information from our Service Information Form for FY 15/16 (which provides unit costs for conducting inspections, collecting samples and analysis), we did some preliminary calculations for estimated fees for a farm and a large plant. These unit costs were adjusted to include administrative overhead costs. For a farm, we would have to charge a minimum annual fee of \$4,200 per farm. Economic pressures have already reduced the number of farms from 201 to 114 from FY 02-03 to FY 15-16. A fee of this amount would add additional pressures and could cause more farms to go out of business. For a large plant, we would have to charge a minimum annual fee of \$35,000. A fee of this amount would put Florida plants at an economic disadvantage with other states in the Southeast Region. Effective July 1, 2013, the funding for the Bureau of Dairy Industry was moved from GITF to GR during the 2013 Legislative Session. While self-sufficiency is not feasible, a plan to establish fees for out-of-state permit/licenses that are outlined in Chapter 502, F.S. and a per hundred weight assessment of milk processed in Florida has been developed. Implementation of this plan would reduce the Bureau's reliance on funds from General Revenue. Using the numbers of active out-of-state permits as of June 30, 2016, an estimated \$199,000 in revenues could be generated.

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

**Department:** Agriculture and Consumer Services

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

**Program:** Dairy Regulatory Program

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

The division has been reviewing all of its business process and has searched for ways to reduce paper and mailing costs along with decreasing the time spent performing administrative functions. Some of the efficiencies realized are the electronic transmission of purchasing card receipts, vehicle log reports and other documents formerly printed and mailed that are now being sent electronically. These reductions have saved an estimated \$3,600 per year.

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

The division is currently beginning the process of moving the food permitting and export certificate section from the bureau into the division office and combining with the same from the Bureau of Dairy Industry. The division is also in the same motion revamping its permitting process more efficiently and effectively permit businesses. This is expected to result in a more efficient streamlined process allowing all permitting and export certificate functions to be performed in one business center. Combining these two functions will also eliminate “drift” in the procedures occurring within the division.

The division is currently overhauling its enforcement section to ensure administrative complaints are handled timely, efficiently and consistently. Much of what is currently being done is hindered by lack of information technology and ability to track files. The enforcement section is working with other sectors to determine the tools necessary for implantation of an information-based system.

The division is currently restructuring its emergency response program to ensure complete coverage of the division and all its areas of responsibility. This is being approached through the movement of the division’s emergency response coordinator from the Bureau of Food Inspection to the division office and integrating the role with the division’s COOP program.

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

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

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

Also, according to the National Conference on Interstate Milk Shipments (NCIMS), a program that allows for the movement of milk across state lines, the regulatory function that the division provides is necessary for all interstate milk shipment (IMS) listed plants and farms in Florida to maintain compliance with the program. If these plants and farms are unable to maintain compliance, they would lose significant amount of business and possibly not be able to stay in operation.

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

Revenue projections by the Division of Food Safety are developed using historical revenue data, trend analysis involving actual and estimated dairy firm counts.

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

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

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

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

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

The Dairy Regulatory Program operates under Chapter 502, Florida Statutes, which establishes regulations for milk, milk products and frozen desserts. Our purpose under Chapter 502, FS, is to ensure that milk, milk products and frozen desserts sold or offered for sale in Florida are produced under sanitary

conditions, are wholesome and fit for human consumption, are correctly labeled as to grade, quality and source of production; and to facilitate the shipment and acceptance of milk and milk products of high sanitary quality in interstate and intrastate commerce. In the absence of permit fees or other associated inspection revenue, it is appropriate that the Dairy Regulatory Program be supported by General Revenue to reflect the public health benefits of the program and its activities.

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

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

The division could reduce the state subsidization by implementing a “per hundred weight” (CWT) fee of \$0.0458/CWT. A per hundred weight in North America is equal to 100 pounds.

Arkansas and Texas are two states in the south that fully fund their dairy regulatory programs through per hundred weight (CWT) fees. Arkansas assesses \$0.03 - \$0.065 CWT fees depending on the type of permit and volume. Texas assesses \$0.045 CWT to milk processors as well as \$100 - \$400 annually for a permit depending on the type of permit.

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

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



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

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

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

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

What percent of the regulatory cost is currently subsidized? (0 to 100%) **98%**

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

What is the current annual amount of the subsidy? **\$ 1,420,583**

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

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

**Department:** 42 Agriculture and Consumer Services **Budget Period:** 2018-19  
**Program:** 42150200 Food Store Inspection Program/Food Lab  
**Fund(s):** 2261, 2321 Federal Grants Trust Fund, General Inspection Trust Fund  
**Specific Authority:** Chapters 381, 500 and 570, F.S., Chapter 5K- F.A.C.  
**Purpose of Fees Collected:** The fees collected shall be used solely for the purpose of the recovery of costs for the services provided by the Division as required by statute and F.A.C.

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

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

**SECTION I - FEE COLLECTION**

Receipts:	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	FGTF	GITF	FGTF	GITF	FGTF	GITF
Food Permit Fees		15,028,526		15,150,000		15,150,000
Reinspection Fees		33,345		35,000		35,000
Late Filing Penalties		166,401		165,000		165,000
Administrative Fines		267,949		400,000		400,000
Plan Review Fees		26,156		27,500		27,500
COOL Agreement Fees		92,000		95,000		95,000
U.S. Grants	1,015,321		1,149,000		592,000	
Certification Report Fees		484,145		532,560		585,815
Bottled Water Permits		32,145		105,000		105,000
Epidemiology Surcharge		500,387		435,000		435,000
Misc. Revenue (Refunds, Other)	12,158	9,154		15,825		15,825
FDA Contract Agreement		376,699		334,200		367,650
Recovery of Indirect Cost from Federal Gov't	37,773		59,700		59,700	
<b>Total Fee Collection to Line (A) - Section III</b>	<b>1,065,252</b>	<b>17,016,907</b>	<b>1,208,700</b>	<b>17,295,085</b>	<b>651,700</b>	<b>17,381,790</b>

**SECTION II - FULL COSTS**

Direct Costs:	FGTF		GITF		FGTF		GITF	
Salaries and Benefits	354,801	9,890,569	450,000	9,900,000	270,000	9,900,000		
Other Personal Services	30,228	51,123	35,000	50,000	15,000	50,000		
Expenses	332,307	1,037,663	400,000	1,450,000	175,000	1,275,000		
Contracted Services	174,206	310,652	150,000	325,000	100,000	325,000		
Operating Capital Outlay	50,868	36,936	105,000	50,000	25,000	50,000		
HR Assessment		56,254		60,000		60,000		
Risk Management Insurance		65,070		65,000		65,000		
Data Processing	4,151	457,828	4,000	475,000	4,000	475,000		
General Revenue S/C		1,353,865		1,350,000		1,350,000		
Refunds		9,554		15,000		15,000		
Transfers-Epidemiology		455,412		400,000		400,000		
Motor Vehicles		185,143	-	150,000	-	150,000		
Indirect Costs Charged to Trust Fund	43,048	2,582,747	50,000	2,550,000	25,000	2,550,000		
<b>Total Full Costs to Line (B) - Section III</b>	<b>989,609</b>	<b>16,492,816</b>	<b>1,194,000</b>	<b>16,840,000</b>	<b>614,000</b>	<b>16,665,000</b>		

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

**SECTION III - SUMMARY**

		FGTF	GITF	FGTF	GITF	FGTF	GITF
TOTAL SECTION I	(A)	1,065,252	17,016,907	1,208,700	17,295,085	651,700	17,381,790
TOTAL SECTION II	(B)	989,609	16,492,816	1,194,000	16,840,000	614,000	16,665,000
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>75,643</b>	<b>524,091</b>	<b>14,700</b>	<b>455,085</b>	<b>37,700</b>	<b>716,790</b>

**EXPLANATION OF LINE C:**

GITF revenues for FY 2016-17 decreased slightly comparative to FY 15-16. In FY 2017-18 and 2018-19, revenues and expenditures will continue to increase, with an increase in projected expenditures in FY 2017-18, due to the replacement of the HVAC unit in the Food Laboratory.

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

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

**Department:** Agriculture and Consumer Services

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

**Program:** Food Store Inspection

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

The division has been reviewing all of its business process and has searched for ways to reduce paper and mailing costs along with decreasing the time spent performing administrative functions. Some of the efficiencies realized are the electronic transmission of purchasing card receipts, vehicle log reports and other documents formerly printed and mailed that are now being sent electronically. These reductions have saved an estimated \$3,600 per year.

The Bureau of Food Inspection reorganized its field management structure to create another manager, thus reducing 14 supervisors from reporting directly to one field manager. Now, each manager has seven direct reports. This has allowed for the managers to spend more time overseeing their sections and less time individually managing employees.

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

The division is currently beginning the process of moving the food permitting and export certificate section from the bureau into the division office and combining with the same from the Bureau of Dairy Industry. The division is also in the same motion revamping its permitting process more efficiently and effectively permit businesses. This is expected to result in a more efficient streamlined process allowing all permitting and export certificate functions to be performed in one business center. Combining these two functions will also eliminate “drift” in the procedures occurring within the division.

The division is currently overhauling its enforcement section to ensure administrative complaints are handled timely, efficiently and consistently. Much of what is currently being done is hindered by lack of information technology and ability to track files. The enforcement section is working with other sectors to determine the tools necessary for implantation of an information-based system.

The division is currently restructuring its emergency response program to ensure complete coverage of the division and all its areas of responsibility. This is being approached through the movement of the division’s emergency response

coordinator from the Bureau of Food Inspection to the division office and integrating the role with the division's COOP program.

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

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

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

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

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

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

At this time, the fees charged are sufficient to cover the costs associated with the programs with the understanding that a portion of the services provided to the industry are also paid for through federal grants. The division also has to rely partially on general revenue to cover the portions where regulatory fees are not assessed or there is insufficient grant money to cover the activities. It should be noted that recent cuts in federal grants may begin to have a noticeable impact on the ability to provide services to the industry in the future.

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

The fees established by the division are based around the risk of the business activities permitted with those being of a higher risk for safety and sanitation problems paying increased permit fees and those of a lower risk for safety and sanitation problems paying lower fees. There is a direct correlation for the depth of inspection with higher risk facilities. In addition, these businesses are generally inspected more frequently to ensure compliance.

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

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

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

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

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

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

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

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

Department: Agriculture and Consumer Services

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

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

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

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

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

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

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES  
42160100**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**



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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-19**  
**Program:** 42160100 Feed Regulation  
**Fund(s):** 1000, 2261, 2321 General Revenue, Federal Grants Trust Fund, General Inspection Trust Fund  
**Specific Authority:** 580.041(1), 580.065  
**Purpose of Fees Collected:** To ensure that Florida consumers receive feed products that conform to the Commercial Feed Law and to provide uniform regulation to feed producers and distributors.

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

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

**SECTION I - FEE COLLECTION**

Receipts:	ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
	GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
U.S. Grants		500,243			600,000			600,000	
Feed Deficiency Penalties			10,550			6,180			6,180
Feed Master Registration			553,390			561,457			561,457
Feed Lab Certification			3,650			3,733			3,733
Administrative Fines			63,568			58,000			58,000
Misc. - Other			55			1,324			1,324
BSE Inspection			116,000			100,000			100,000
Refunds			-			16,395			16,395
<b>Total Fee Collection to Line (A) - Section III</b>	<b>-</b>	<b>500,243</b>	<b>747,213</b>	<b>-</b>	<b>600,000</b>	<b>747,089</b>	<b>-</b>	<b>600,000</b>	<b>747,089</b>

**SECTION II - FULL COSTS**

Direct Costs:	ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
	GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
Salaries and Benefits			105,614			115,847			115,847
Other Personal Services		170,271			204,133			204,133	
Expenses		144,078	4,104		240,739	6,532		240,739	6,532
Contracted Services		131,593	13		113,928	1,222		113,928	1,222
Operating Capital Outlay		64,604			41,200			41,200	
Data Processing						0			0
HR Assessment			452			475			475
General Revenue S/C			62,852			66,843			66,843
Field Inspection	5,168		352,406			376,905			376,905
Refunds			40			40			40
Indirect Costs Charged to Trust Fund	570		23,025	10,749		32,525	10,749		32,525
<b>Total Full Costs to Line (B) - Section III</b>	<b>5,738</b>	<b>510,546</b>	<b>548,506</b>	<b>10,749</b>	<b>600,000</b>	<b>600,389</b>	<b>10,749</b>	<b>600,000</b>	<b>600,389</b>

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

**SECTION III - SUMMARY**

		ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
TOTAL SECTION I	(A)	-	500,243	747,213	-	600,000	747,089	-	600,000	747,089
TOTAL SECTION II	(B)	5,738	510,546	548,506	10,749	600,000	600,389	10,749	600,000	600,389
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(5,738)</b>	<b>(10,303)</b>	<b>198,707</b>	<b>(10,749)</b>	<b>-</b>	<b>146,700</b>	<b>(10,749)</b>	<b>-</b>	<b>146,700</b>

**EXPLANATION of LINE C:**

Receipts cover most direct and indirect costs for this program area.

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

**Department:** Agriculture and Consumer Services

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

**Program:** Feed Regulation

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

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

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

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

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

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

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

The fees charged are set in statute or rule.

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

As a result of a fee increase enacted by the 2008 Legislature, the fees charged exceeded direct and indirect costs to the General Inspection Trust Fund portion of the program area for FY 16-17, and we anticipate that this will continue for FY 17-18.

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

The fees charged are set in statute or rule.

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

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

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

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

## Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

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

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

What percent of the regulatory cost is currently subsidized? (0 to 100%) Allocated GR costs total 1.04% of the GR+GITF costs, GITF receipts exceed costs by 36.2%

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

What is the current annual amount of the subsidy? \$ 5,738 GR

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

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

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

**Budget Period: 2018-19**

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

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

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

**SECTION I - FEE COLLECTION**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
Receipts:						
Fertilizer Dealer Licenses		80,501		77,239		77,239
Fertilizer Reporting Fees		1,571,617		1,801,598		1,801,598
Lime Reporting Fees		155,033		175,292		175,292
Phosphate Reporting Fees		2,902		1,892		1,892
Specialty Fertilizer Registration		250,600		241,750		241,750
Commercial Sampling		1,149		1,894		1,894
Penalties		42,050		43,003		43,003
Administrative Fines		0		22,727		22,727
Refunds				-		-
Fees - Nitrogen		48,535				
<b>Total Fee Collection to Line (A) - Section III</b>	-	2,152,387	-	2,365,395	-	2,365,395

**SECTION II - FULL COSTS**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
Direct Costs:						
Salaries and Benefits		881,977		1,021,346		1,021,346
Other Personal Services		8,656		10,000		10,000
Expenses		112,050		140,231		140,231
Contracted Services		22,833		29,875		29,875
Operating Capital Outlay						
HR Assessment		3,852	-	4,084	-	4,084
Data Processing		0	-	-	-	-
General Revenue S/C		171,323		181,597		181,597
Refunds		157,273		3,297		3,297
Field Inspection	12,921	881,016	15,725	906,582	15,725	906,582
Indirect Costs Charged to Trust Fund	5,817	114,762	36,519	130,587	36,519	130,587
<b>Total Full Costs to Line (B) - Section III</b>	18,738	2,353,742	52,244	2,427,599	52,244	2,427,599

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

**SECTION III - SUMMARY**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
TOTAL SECTION I (A)	-	2,152,387	-	2,365,395	-	2,365,395
TOTAL SECTION II (B)	18,738	2,353,742	52,244	2,427,599	52,244	2,427,599
<b>TOTAL - Surplus/Deficit (C)</b>	(18,738)	(201,355)	(52,244)	(62,204)	(52,244)	(62,204)

**EXPLANATION of LINE C:**

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

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

**Department:** Agriculture and Consumer Services

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

**Program:** Fertilizer Regulation

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

The Division constantly strives for operational efficiency. Antiquated and inefficient analytical methods and equipment have been replaced with current methodologies and modern, automated equipment. We have implemented a risk-based inspection strategy that has reduced the number of samples collected (1,893 in FY 16-17 compared to 6,478 in FY 06-07), while focusing on deficient samples with a deficiency rate of 20.2% for FY 16-17.

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

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

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

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

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

The fees charged are set in statute or rule.

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

As a result of fee increases enacted by the 2008 and the 2009 Legislature, the fees charged covered most of the direct and indirect costs to the General Inspection Trust Fund portion of the program area for FY 16-17.

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

The fees charged are set in statute or rule.

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

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

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

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

## Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

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

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

What percent of the regulatory cost is currently subsidized? Allocated GR costs total 0.79% of the GR+GITF costs, GITF receipts exceed costs by 0.00%.

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

What is the current annual amount of the subsidy? \$18,738 GR

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



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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-19**  
**Program:** 42160100 Pest Control  
**Fund(s):** 1000, 2528 General Revenue, Pest Control Trust Fund

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

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

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

**SECTION I - FEE COLLECTION**

Receipts:	ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
	GR	FGTF	PCTF	GR	FGTF	PCTF	GR	FGTF	PCTF
U.S. Grants		0			196,733			175,000	
Exam Fees			475,900			514,202			514,202
Prior Notification Registration			0			0			0
Emergency Certification Fees			32,260			33,305			33,305
Pest Control Licenses			3,266,857			3,127,369			3,127,369
Expedite Fees			18,075			19,774			19,774
Late Penalties			0			91,834			91,834
Administrative Fines			66,107			86,772			86,772
Interest on Investments			36,939			37,508			37,508
Copies/Refunds			301			1,604			1,604
Refunds		0	200			56			56
Misc service fees			551						
<b>Total Fee Collection to Line (A) - Section III</b>	-	-	3,897,190	-	196,733	3,912,424	-	175,000	3,912,424

**SECTION II - FULL COSTS**

Direct Costs:	ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
	GR	FGTF	PCTF	GR	FGTF	PCTF	GR	FGTF	PCTF
Salaries and Benefits			2,635,051			3,248,737			3,248,737
Personnel Assessment			14,695			14,435			14,435
Other Personal Services			10,639			12,010			12,010
Acquisition of Motor Vehicles		0	157,493		0	0	125,000		125,000
Expenses	123,035	0	353,576	75,000	144,600	394,514	40,000		394,514
Contracted Services		0	91,692		52,133	206,425		10,000	206,425
Operating Capital Outlay			21,561			0			0
Data Processing			255,652			255,653			255,653
Transfers out to DFS	0		0			0			0
Assessment on Investments			2,783			3,037			3,037
Refunds			20,228			60,000			60,000
Indirect Costs Charged to Trust Fund	89,946		313,472	95,000		0	95,000		0
<b>Total Full Costs to Line (B) - Section III</b>	212,981	0	3,876,842	170,000	196,733	4,194,811	95,000	175,000	4,319,811

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

**SECTION III - SUMMARY**

		ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
TOTAL SECTION I	(A)	0	0	3,897,190	0	196,733	3,912,424	0	175,000	3,912,424
TOTAL SECTION II	(B)	212,981	0	3,876,842	170,000	196,733	4,194,811	95,000	175,000	4,319,811
<b>TOTAL - Surplus/Deficit</b>	(C)	(212,981)	0	20,348	(170,000)	-	(282,387)	(95,000)	-	(407,387)

**EXPLANATION of LINE C:**

This regulatory activity is supported by funds collected from the industry and deposited into the Pest Control Trust Fund.

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

**Department:** Agriculture and Consumer Services

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

**Program:** Pest Control Regulation

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

The Division constantly strives for operational efficiency. 6,016 inspections and investigations were conducted in FY 16-17. The number of pest control licensees continues to grow. A risk-based investigative system that targets high-risk areas such as structural fumigation has been implemented. Efforts to increase efficiencies in this program area include:

- Completion of a document imaging program that eliminated 1.5 million documents (120 filing cabinets).
  - Movement from leased space to Department owned office space.
  - Implementation of electronic mail notification of licensees for legally required notices to reduce mail-out costs to save approximately \$30,000 per year.
  - Implementation of an electronic notification system for notices of structural fumigation.
2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?
    - The risk-based enforcement strategy will continue to be refined. We have not completed an estimate of potential savings.
    - Implementation of an on-line license application and renewal system to automate license issuance. Once implemented we anticipate enhanced turn-around time for license issuance and reduced cost associated with a paper based process. Once implemented, we can estimate potential cost savings.
  3. Is the regulatory activity an appropriate function that the agency should continue at its current level?

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

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

The fees charged are set in statute or rule.

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

The fees charged covered most of the direct and indirect charges to the Pest Control Trust Fund for FY 16-17.

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

The fees charged are set in statute or rule.

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

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

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

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

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

**References:**

1. - National Pest Management Association, email from Cindy Mannes, 9/20/06.
  2. - A Survey of Florida Homeowners Regarding Termite Infestation, January, 2001  
Michael J. Scicchitano and Tracy L. Johns, Shimberg Center, Policy and Management Research, University of Florida, Gainesville, Florida.
8. If the regulatory program is not self-sufficient and provides a public benefit using state subsidization, please provide a plan for reducing the state subsidy.

Fees collected in this program completely support the Direct costs and most of the Indirect costs of this program.

## Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

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

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

What percent of the regulatory cost is currently subsidized? (0 to 100%) **Allocated GR costs total 5.21% of the GR+PCTF costs, PCTF receipts exceed costs by 0.53%**

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

What is the current annual amount of the subsidy? **\$212,981 GR**

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

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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-19**  
**Program:** 42160100 Pesticide Regulation  
**Fund(s):** 1000, 2261, 2321 General Revenue, Federal Grants Trust Fund, General Inspection Trust Fund  
**Specific Authority:** 487.04, 487.041, 487.045, 487.048, 487.071  
**Purpose of Fees Collected:** To ensure that pesticides are distributed and used in Florida in accordance with the Florida Pesticide Law and to provide uniform regulation to pesticide users.

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

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

**SECTION I - FEE COLLECTION**

Receipts:	ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
	GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
U. S. Grants		778,020			637,917			659,650	
Pesticide Dealer's License			95,000			96,367			96,367
Pesticide Applicator's License			505,098			511,331			511,331
Pesticide Registration			5,346,189			5,902,065			5,902,065
Misc - Penalties			21,128			20,667			20,667
Administrative Fines			18,600			47,000			47,000
Misc. - Other		37,211	89			-			-
Refunds			189		0	0		0	0
Supplemental Registration			411,064			411,064			0
Other transfers			0			0			0
<b>Total Fee Collection to Line (A) - Section III</b>	-	815,231	6,397,357	-	637,917	6,988,494	-	659,650	6,577,430

**SECTION II - FULL COSTS**

Direct Costs:	ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
	GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
Salaries and Benefits		356,723	1,697,284		354,821	1,727,892		321,407	1,727,892
Other Personal Services			59,440		-	75,500		-	75,500
Expenses		118,506	129,143		101,857	135,987		46,378	135,987
Contracted Services		127,601	21,662		78,739	19,800		64,365	19,800
HR Assessment			7,458			8,058			8,058
Operating Capital Outlay		93,354			102,500			102,500	
Data Processing						-			-
Acquisition of Motor Vehicles		115,400						125,000	
General Revenue S/C			762,617			118,600			792,825
Field Inspection	21,104		1,136,805			1,156,655			1,156,655
Refunds			1,740			8,163			8,163
Indirect Costs Charged to Trust Fund	424,828	29,618	1,671,349	249,678	0	1,775,632	249,678	0	1,775,632
<b>Total Full Costs to Line (B) - Section III</b>	445,932	841,202	5,487,498	249,678	637,917	5,026,287	249,678	659,650	5,700,512

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

**SECTION III - SUMMARY**

		ACTUAL FY 2016-17			ESTIMATED FY 2017-18			REQUEST FY 2018-19		
		GR	FGTF	GITF	GR	FGTF	GITF	GR	FGTF	GITF
TOTAL SECTION I	(A)	-	815,231	6,397,357	-	637,917	6,988,494	-	659,650	6,577,430
TOTAL SECTION II	(B)	445,932	841,202	5,487,498	249,678	637,917	5,026,287	249,678	659,650	5,700,512
<b>TOTAL - Surplus/Deficit</b>	(C)	(445,932)	(25,971)	909,859	(249,678)	-	1,962,207	(249,678)	-	876,918

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

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

**Department:** Agriculture and Consumer Services

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

**Program:** Pesticide Regulation

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

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

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

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

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

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

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

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

The fees charged are set in statute or rule.

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

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

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

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

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

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



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

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

## Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

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

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

What percent of the regulatory cost is currently subsidized? (0 to 100%) Allocated GR costs total 7.52% of the GR+GITF costs, GITF receipts exceed costs by 53.0%

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

What is the current annual amount of the subsidy? \$445,932 GR

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
License Pesticide Applicators & Dealers	Private Applicators	487.045(1)	Yes	2002	Yes	\$100	General Inspection Trust Fund
License Pesticide Applicators & Dealers	Public Applicators	487.045(1)	Yes	2002	Yes	\$100	General Inspection Trust Fund
License Pesticide Applicators & Dealers	Commercial Applicators	487.045(1)	Yes	2002	Yes	\$250	General Inspection Trust Fund
License Pesticide Applicators & Dealers	Pesticide Dealer	487.048(1)	Yes	2002	Yes	\$250	General Inspection Trust Fund
Regulate Pesticide Products	Annual Pesticide Registration Fee	487.041(3)	\$350 per registered product; \$100 for Exp. Use Permit or Special Local Need	2008	No	\$350 per registered product; \$100 for Exp. Use Permit or Special Local Need	General Inspection Trust Fund
Analyze Pesticide Samples	Pesticide Sample Analysis Fee	487.071(7)(b)	\$400 per test	1993	(Authorized, not implemented)	none	General Inspection Trust Fund
Regulate Pesticide Products	Supplemental Registration Fee	487.041(3)	\$315 per applicable product	2009	Yes	\$315	This fee eliminated during the legislative session for FY2017-2018.

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

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

**Budget Period: 2018-19**

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

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

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

**SECTION I - FEE COLLECTION**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
<u>Receipts:</u>						
Seed Licenses		1,131,855		1,141,123		1,141,123
Seed Complaint Filing Fee		440		413		413
Misc. - Other		887		932		932
Refunds		0		0		0
Penalties		0		0		0
<b>Total Fee Collection to Line (A) - Section III</b>	-	1,133,182	-	1,142,468	-	1,142,468

**SECTION II - FULL COSTS**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
<u>Direct Costs:</u>						
Salaries and Benefits		383,393		413,955		413,955
HR Assessment		1,581		1,913		1,913
Contracted Services		2,320		-		-
Expenses		31,176		32,798		32,798
Operating Capital Outlay						
Data Processing			-	-	-	-
General Revenue S/C		71,422		92,000		92,000
Field Inspection	3,876	264,305		281,564		281,564
Refunds						
<u>Indirect Costs Charged to Trust Fund</u>	2,567	45,136	37,967	50,952	37,967	50,952
<b>Total Full Costs to Line (B) - Section III</b>	6,443	799,333	37,967	873,182	37,967	873,182

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

**SECTION III - SUMMARY**

		ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
		GR	GITF	GR	GITF	GR	GITF
TOTAL SECTION I	(A)	-	1,133,182	-	1,142,468	-	1,142,468
TOTAL SECTION II	(B)	6,443	799,333	37,967	873,182	37,967	873,182
<b>TOTAL - Surplus/Deficit</b>	(C)	(6,443)	333,849	(37,967)	269,286	(37,967)	269,286

**EXPLANATION of LINE C:**

Receipts cover most direct and indirect costs for this program area.

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

**Department:** Agriculture and Consumer Services

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

**Program:** Seed Regulation

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

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

<i>FY</i>	<i>16-17</i>	<i>15-16</i>	<i>14-15</i>	<i>13-14</i>	<i>12-13</i>
Samples Collected	1,795	2,379	1,633	2,034	2,408
Number found to be violative	69	174	54	132	92
% Violations	3.84%	7.31%	3.31%	6.49%	3.82%

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

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

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

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

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

The fees charged are set in statute or rule.

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

Prior to a fee increase adopted by the 2009 Legislature, fees were not adequate to cover the direct and indirect costs of the program. Fees were doubled in 2009, so revenues for FY 16-17 covered most of the direct and indirect costs of the program. Fees for smaller volume seed dealers were reduced in FY 2014.

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

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

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

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

The regulation of seeds provides substantial public benefits well in excess of the amount of public funds expended. The 2,565 licensed seed dealers in Florida in FY 16-17 reported over \$100 million in gross receipts. These seeds are the basis for Florida agriculture and backyard Florida's fruit and vegetable production.

Seed regulation includes mediation of disputes between growers and seed producers. In FY 16-17, the Seed Investigation and Conciliation Council conducted five seed complaint hearings. As a result of the Council's investigations, the Council recommended settlements to the growers totaling \$436,280 for losses incurred due to seed failing to produce as advertised.

The seed regulatory program performs a vital function in checking for both prohibited and restricted noxious weed seed contamination. For one restricted noxious weed, tropical soda apple, a total of 5 lots, totaling 30,000 pounds of Bahia grass and Aeschynomene seed contaminated with tropical soda apple were identified and stopped from being sold or shipped in FY 16-17.

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

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

## Examination of Regulatory Fees - Part II

Department: **Agriculture & Consumer Services**

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

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

What percent of the regulatory cost is currently subsidized? (0 to 100%) Alloted GR costs total 0.80% of the GR+GITF costs, GITF receipts exceed costs by 41.8%

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

What is the current annual amount of the subsidy? \$6,443 GR

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

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF CONSUMER PROTECTION  
42160200**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**



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

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 Agricultural Dealers License  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** 534.48, 535.05; 604.15-604.34, F.S.  
**Purpose of Fees Collected:** Licensing of agricultural dealers, throughbred horse sales, and livestock markets; processing claims of Florida producers; administrative fines for enforcement of statutory requirements.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>
<u>Receipts:</u>			
Licenses - Ag Dealers	871,187	525,000	525,000
Licenses - Livestock Markets	2,070	-	-
Licenses - Throughbred Horse Sales	1,800	2,100	2,100
Fees - L&B Complaint Filing Fee	1,450	0	0
Administrative Fines			
Surplus Property	-	0	0
<b>Total Fee Collection to Line (A) - Section III</b>	<b>876,507</b>	<b>527,100</b>	<b>527,100</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	37,975	37,975	37,975
Other Personal Services	1,534	1,534	1,534
Expenses	1,739	4,165	4,165
Contracted Services	700	700	700
Operating Capital Outlay	107	107	107
Human Resource Assessment	272	269	261
Refund State Revenues	2,288	2,288	2,288
Refund Non-State Revenues	4,000	4,000	4,000
OATS Assessment	1,789	1,789	1,789
General Revenue Service Charge	82,442	42,168	42,168
Indirect Costs Charged to Trust Fund	13,138	13,138	13,138
<b>Total Full Costs to Line (B) - Section III</b>	<b>145,985</b>	<b>108,133</b>	<b>108,125</b>

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

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	876,507	527,100
TOTAL SECTION II	(B)	145,985	108,125
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>730,522</b>	<b>418,967</b>

**EXPLANATION of LINE C:**  


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

**Department:** Agriculture and Consumer Services

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Agricultural Product Dealer's Licenses

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

The program has improved its efficiency exponentially in its daily processes by moving the program into a new database (DOCS). This has streamlined the application process tremendously. This allows the program to maintain everything regarding the license file in one central database. Prior to this, the program was maintained in an older database but most the recordkeeping had to be performed from multiple spreadsheets due to the database's constraints.

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

Integration into the Division of Consumer Services' DOCS database will continue to improve program efficiency. Consumer Services has started the process to automate the sending deficiency and renewal notices, as well as scanning all incoming documents to create digital files. Working more efficiently will save time and money. It will take the coming year to fully integrate the files into the DOCS database, but we are confident that, once complete, this program will operate more efficiently than it has in the past.

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

Yes. This program provides a valuable protection to one of the largest industries in the state, ensuring that Florida producers who conduct business with properly licensed agricultural dealers are provided security from the possibility of serious economic harm in the event that an agricultural dealer defaults on payment. This security is crucial to the Florida producer due to the perishable nature of agricultural products and the impracticality of recovering those products due to the speed with which they move through commerce.

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

The maximum license fee is set by statute.

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

The license fees collected are adequate to cover both direct and indirect costs.

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

The fees charged are reasonable. The sliding scale fees are based upon the amount of surety supporting the license, which determined by the buying volume of the business. There is no differentiation between business types.

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

The fees charged are adequate to cover direct and indirect program costs.

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

The program is self-sufficient.

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

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Agricultural Dealer's Licenses

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

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Agricultural Dealer's	License Fee	604.19	\$500	2005	Yes - 5J-25	\$170; \$230; \$300	General Inspection TF
	Supplemental Location Fee	604.19	100	2005	Yes - 5J-25	100	General Inspection TF
	Delinquent Renewal	604.19	100	2005	Yes - 5J-25	100	General Inspection TF
	Complaint Filing Fee	604.21(1)(a)	50	2005	No	50	General Inspection TF
	Administrative Fines	604.30(3)(a)	2,500	2005	No	2,500	General Inspection TF
	Continuing Violation Fine	604.30(3)(b)	Not to exceed \$100/day	2005	No	\$100/day	General Inspection TF
Livestock Markets	License Fee	534.48	\$100	1993	No	\$100	General Inspection TF
Thoroughbred Horse Sales	License Fee	535.05	\$300	1993	No	\$300	General Inspection TF

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

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 Fair Rides Inspection  
**Fund:** 2321 General Inspection Trust Fund

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

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

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

<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>
Fair Ride Inspection Fees	793,352	738,857	738,857
Fair Ride Permits	797,644	743,086	743,086
Penalties - Returned Check Service Fees	542	-	-
Reimbursements from Employees	-	-	-
Administrative Fines	11,250	18,688	18,688
Copies of Documents	192	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>1,602,981</b>	<b>1,500,631</b>	<b>1,500,631</b>

<b>SECTION II - FULL COSTS</b>			
<u>Direct Costs:</u>			
Salaries and Benefits	1,114,083	1,114,083	1,114,083
Other Personal Services	25	-	-
Expenses	232,981	232,981	232,981
Contracted Services	24	-	-
Operating Capital Outlay	8	-	-
Acquisition of Motor Vehicles	73,414	-	-
Human Resource Assessment	7,224	7,119	6,909
Refund State Revenues	3,301	-	-
OATS Assessment	42,650	42,650	42,650
General Revenue Service Charge	115,829	120,050	120,050
Indirect Costs Charged to Trust Fund	379,582	379,582	379,582
<b>Total Full Costs to Line (B) - Section III</b>	<b>1,969,121</b>	<b>1,896,466</b>	<b>1,896,256</b>

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

<b>SECTION III - SUMMARY</b>			
TOTAL SECTION I	(A)	1,602,981	1,500,631
TOTAL SECTION II	(B)	1,969,121	1,896,256
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(366,141)</b>	<b>(395,625)</b>

**EXPLANATION of LINE C:**  
Deficit is covered by surplus funds in other program areas.

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

Department: **Agriculture and Consumer Services**

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

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

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

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

What is the current annual amount of the subsidy? \$ **365,988**

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

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

**Department:** Agriculture and Consumer Services

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

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

At this time, maximum operational efficiency is being maintained to meet statutory requirements with the funding available. During FY 15/16 the Bureau made every effort to reduce travel costs, overtime accrual and to continue to order supplies in bulk to alleviate additional fees associated.

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

During the upcoming fiscal year the Bureau is moving towards computer based inspection reporting and invoicing thus removing the costs for all carbon copied forms. This operating change will save the Bureau approximately \$7,000 annually.

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

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

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

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

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

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

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

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

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

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



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

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

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

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

**Department:** 42 Agriculture and Consumer Services      **Budget Period: 2018-19**  
**Program:** 42160200 Game Promotions  
**Fund:** 2321 General Inspection Trust Fund

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

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016 - 17</b>	<b>FY 20 17- 18</b>	<b>FY 20 18 - 19</b>
<u>Receipts:</u>			
Registration Fees	338,010	362,133	362,133
Administrative Fines	125,578	135,493	135,493
<b>Total Fee Collection to Line (A) - Section III</b>	<b>463,588</b>	<b>497,626</b>	<b>497,626</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	114,297	114,297	114,297
Other Personal Services	3,322	3,322	3,322
Expenses	9,622	6,685	6,685
Contracted Services	2,360	2,360	2,360
HR Assessment	731	742	721
Refund - State Revenues	4,080	2,740	2,740
Refund Non- State Revenues	500	-	-
OATS Assessment	4,015	4,015	4,015
General Revenue S/C	34,500	39,810	39,810
Indirect Costs Charged to Trust Fund	34,032	34,032	34,032
<b>Total Full Costs to Line (B) - Section III</b>	<b>207,459</b>	<b>208,003</b>	<b>207,982</b>

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

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	463,588	497,626
TOTAL SECTION II	(B)	207,459	208,003
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>256,129</b>	<b>289,623</b>

**EXPLANATION of LINE C:**  


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

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 Health Studios  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** s.501.015,F.S.  
**Purpose of Fees Collected:** To provide regulation and oversight to theHealth Studio Industry in the State of Florida.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL FY 2016-17</b>	<b>ESTIMATED FY 2017-18</b>	<b>REQUEST FY 2018-19</b>
<u>Receipts:</u>			
<u>Registration Fees</u>	838,893	838,893	838,893
<u>Administrative Fines</u>	34,899	35,000	35,000
<u> </u>			
<u> </u>			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>873,792</b>	<b>873,893</b>	<b>873,893</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
<u>Salaries and Benefits</u>	151,274	151,274	151,274
<u>Other Personal Services</u>	3,536	3,536	3,536
<u>Expenses</u>	(13,368)	15,814	15,814
<u>Contracted Services</u>	2,098	2,098	2,098
<u>HR Assessment</u>	1,138	1,138	1,138
<u>Refund - State Revenues</u>	3,431	3,431	3,431
<u>Refund Non- State Revenues</u>	1,000	-	-
<u>OATS Assessment</u>	4,904	3,826	3,826
<u>General Revenue S/C</u>	69,903	69,911	69,911
<u>Indirect Costs Charged to Trust Fund</u>	40,483	40,483	40,483
<b>Total Full Costs to Line (B) - Section III</b>	<b>264,399</b>	<b>291,511</b>	<b>291,511</b>

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

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	873,792	873,893
TOTAL SECTION II	(B)	264,399	291,511
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>609,393</b>	<b>582,382</b>

**EXPLANATION of LINE C:**

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

**Department:** Agriculture and Consumer Services

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

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

Streamlining the administrative processes and cross training have increased productivity and customer services. Due to these improvements, we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

The fees charged are reasonable. There is one set fee for all business types.

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

Fees currently charged are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

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

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

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

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

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

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

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

**Department:** 42 Agriculture and Consumer Servic      **Budget Period:** 2018-19  
**Program:** 42160200 Household Moving Services  
**Fund:** 2321 General Inspection Trust Fund

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

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL FY 2016-17</b>	<b>ESTIMATED FY 2017-18</b>	<b>REQUEST FY 2018-19</b>
<u>Receipts:</u>			
Mover Registration Fee	390,900	319,028	319,028
Admin Fine	10,911	22,597	22,597
<b>Total Fee Collection to Line (A) - Section III</b>	<b>401,811</b>	<b>341,625</b>	<b>341,625</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	127,811	127,811	127,811
Other Personal Services	2,137	2,159	2,159
Expenses	(17,997)	13,105	13,105
Contracted Services	1,545	1,575	1,575
HR Assessment	978	964	936
Refund - State Revenues	1,573	-	-
Refund Non- State Revenues	-	-	-
OATS Assessment	5,565	5,565	5,565
General Revenue S/C	32,143	27,330	27,330
Indirect Costs Charged to Trust Fund	47,051	47,051	47,051
<b>Total Full Costs to Line (B) - Section III</b>	<b>200,805</b>	<b>225,559</b>	<b>225,531</b>

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

<b><u>SECTION III - SUMMARY</u></b>				
TOTAL SECTION I	(A)	401,811	341,625	341,625
TOTAL SECTION II	(B)	200,805	225,559	225,531
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>201,006</b>	<b>116,066</b>	<b>116,094</b>

**EXPLANATION of LINE C:**  


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

**Department:** Agriculture and Consumer Services

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Household Moving Services

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

Streamlining the administrative processes and cross training have increased productivity and customer services. Due to these improvements, we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Fees are sufficient to cover all costs.

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



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

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

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

Fees are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Household Moving Services

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s.507.03, F.S. **0%**

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

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

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

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

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

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 LP Gas Inspection  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** Chapter 527,F.S.  
**Purpose of Fees Collected:** Regulatory oversight of the liquefied petroleum gas industry, including licensing, examination, inspection, investigation and training

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

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

<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL FY 2016-17</b>	<b>ESTIMATED FY 2017-18</b>	<b>REQUEST FY 2018-19</b>
<u>Receipts:</u>			
LP Gas Exam Fees	18,660	18,648	18,648
Duplicate License-Qualifier	20	3,888	3,888
Fees-Registration and Training	6,175	14,527	14,527
Fees-Truck Registration	3,850	11,201	11,201
Fees-Site Plan	25,768	25,472	25,472
Fees-Transfer of LPG licenses	-	2,404	2,404
LP Gas Renewals	1,931,135	1,773,660	1,773,660
Category II LPG Dispensing Unit	-	-	-
Penalties - Returned Check Service Fees			
Administrative Fines	16,599	34,380	34,380
Penalties - Late Filing			
Refunds	-	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>2,002,207</b>	<b>1,884,180</b>	<b>1,884,180</b>

<b>SECTION II - FULL COSTS</b>			
<u>Direct Costs:</u>			
Salaries and Benefits	415,441	692,237	692,237
Other Personal Services	14,396	15,000	15,000
Expenses	48,122	61,643	61,643
Contracted Services	8,813	8,813	8,813
Operating Capital Outlay	2,310	2,310	2,310
HR Assessment	3,010	2,966	2,879
Refund - State Revenues	21,495	21,495	21,495
Refund Non- State Revenues	-	-	-
OATS Assessment	19,931	19,931	19,931
General Revenue S/C	160,177	150,734	150,734
Indirect Costs Charged to Trust Fund	257,511	257,511	257,511
<b>Total Full Costs to Line (B) - Section III</b>	<b>951,206</b>	<b>1,232,640</b>	<b>1,232,553</b>

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

<b>SECTION III - SUMMARY</b>			
TOTAL SECTION I	(A)	2,002,207	1,884,180
TOTAL SECTION II	(B)	951,206	1,232,640
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>1,051,001</b>	<b>651,540</b>

**EXPLANATION of LINE C:**  


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

**Department:** Agriculture and Consumer Services

**Regulatory Service to or Oversight of Businesses or Professions Program:** The Liquefied Petroleum Gas

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

The Liquefied Petroleum Gas (LP) program has integrated with the Weights and Measures program to cross train inspectors. One inspector will now be serving both program areas, saving time and increasing the number of facilities that will be inspected. Petroleum inspectors are being cross trained to inspect LP cylinder cages, allowing for further efficiency.

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

The division will continue to work with new ideas to streamline processes without losing the effectiveness of the program and the services to Florida consumers. Inspectors will continue to cross train and provide time saving plans to increase inspector's productivity.

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

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

Fees are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

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

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): NO Chapter 527, F.S.

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

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

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

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

	Installer A	527.02, FS	\$300	1990	No	\$300	General Inspection Trust Fund
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**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 Motor Vehicle Repair Shops  
**Fund:** 2321 General Inspection Trust Fund

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

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL FY 2016-17</b>	<b>ESTIMATED FY 2017-18</b>	<b>REQUEST FY 2018-19</b>
<u>Receipts:</u>			
<u>Registration Fees</u>	1,176,858	1,206,315	1,206,315
<u>Penalties-Late Filing</u>	31,700	13,602	13,602
<u>Administrative Fines</u>	113,836	122,824	122,824
<b>Total Fee Collection to Line (A) - Section III</b>	<b>1,322,394</b>	<b>1,342,741</b>	<b>1,342,741</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
<u>Salaries and Benefits</u>	836,313	836,313	836,313
<u>Other Personal Services</u>	24,221	24,221	24,221
<u>Expenses</u>	(37,044)	88,837	88,837
<u>Contracted Services</u>	12,852	12,852	12,852
<u>HR Assessment</u>	6,195	6,105	5,924
<u>Refund - State Revenues</u>	-	-	-
<u>OATS Assessment</u>	37,995	37,995	37,995
<u>General Revenue S/C</u>	105,792	107,419	107,419
<u>Indirect Costs Charged to Trust Fund</u>	298,286	298,286	298,286
<b>Total Full Costs to Line (B) - Section III</b>	<b>1,284,610</b>	<b>1,412,028</b>	<b>1,411,847</b>

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

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	1,322,394	1,342,741
TOTAL SECTION II	(B)	1,284,610	1,411,847
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>37,784</b>	<b>(69,106)</b>

**EXPLANATION of LINE C:**  
Any annual deficit is covered by surplus funds from other program areas.



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

**Department:** Agriculture and Consumer Services

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

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

Streamlining the administrative processes and cross training have increased productivity and customer services. Due to these improvements, we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

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

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

Fees are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

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

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

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

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

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

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

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

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 Pawn Shops  
**Fund:** 2321 General Inspection Trust Fund

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

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

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

<u>SECTION I - FEE COLLECTION</u>	<b>ACTUAL FY 2016-17</b>	<b>ESTIMATED FY 2017-18</b>	<b>REQUEST FY 2018-19</b>
<u>Receipts:</u>			
<u>Registration Fees</u>	385,011	432,887	132,887
<u>Background Checks</u>	37,911	30,581	30,581
<u>Administrative Fines</u>	40,204	43,378	43,378
<b>Total Fee Collection to Line (A) - Section III</b>	<b>463,126</b>	<b>506,846</b>	<b>206,846</b>

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
<u>Direct Costs:</u>			
<u>Salaries and Benefits</u>	29,338	29,338	29,338
<u>Other Personal Services</u>	1,172	1,172	1,172
<u>Expenses</u>	1,241	3,214	3,214
<u>Contracted Services</u>	537	537	537
<u>Operating Capital Outlay</u>	83	83	83
<u>HR Assessment</u>	211	208	202
<u>Refund - State Revenues</u>	1,741	1,741	1,741
<u>OATS Assessment</u>	1,380	1,380	1,380
<u>General Revenue S/C</u>	37,050	40,548	16,548
<u>Indirect Costs Charged to Trust Fund</u>	10,162	10,162	10,162
<b>Total Full Costs to Line (B) - Section III</b>	<b>82,915</b>	<b>88,383</b>	<b>64,377</b>

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

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	463,126	206,846
TOTAL SECTION II	(B)	82,915	64,377
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>380,211</b>	<b>142,469</b>

EXPLANATION of LINE C:

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

**Department:** Agriculture and Consumer Services

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

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

Streamlining the administrative processes and cross training have increased productivity and customer services. Due to these improvements, we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

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

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

Fees are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

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

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

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

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

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

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

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

**Department:** 42 Agriculture and Consumer Servic      **Budget Period: 2018-19**  
**Program:** 42160200 Professional Surveyors and Mappers  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** s.472.011, s.472.0365, s.472.018, s.472.023, s.470.0345, F.S.  
**Purpose of Fees Collected:** To provide regulation and oversight to Professional Surveyors and Mappers.

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

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

<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL FY 2016-17</b>	<b>ESTIMATED FY 2017-18</b>	<b>REQUEST FY 2018-19</b>
<b>Receipts:</b>			
Unlicensed Activity Fee	27,695	14,669	14,669
CE Provider Fees	6,250	5,365	5,365
Duplicate Name Status Change Fees	1,515	1,113	1,113
Examination Application Fees	5,875	4,032	4,032
Initial License Fees	22,985	25,172	25,172
Renewal License	311,193	313,957	313,957
Business Licenses	182,310	173,761	173,761
Administrative Fines	37,921	37,921	37,921
Delinquent Charges	300	-	-
Copies of Documents	-	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>596,044</b>	<b>575,990</b>	<b>575,990</b>

<b>SECTION II - FULL COSTS</b>			
<b>Direct Costs:</b>			
Salaries and Benefits	281,310	281,310	281,310
Other Personal Services	6,629	6,629	6,629
Expenses	64,769	64,769	64,769
Contracted Services	26,691	26,691	26,691
HR Assessment	1,777	1,356	1,316
Refund - State Revenues	3,030	3,030	3,030
OATS Assessment			
General Revenue S/C	98,554	46,079	46,079
Indirect Costs Charged to Trust Fund			
<b>Total Full Costs to Line (B) - Section III</b>	<b>482,760</b>	<b>429,864</b>	<b>429,824</b>

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

<b>SECTION III - SUMMARY</b>			
TOTAL SECTION I	(A)	596,044	575,990
TOTAL SECTION II	(B)	482,760	429,824
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>113,284</b>	<b>146,166</b>

**EXPLANATION of LINE C:**

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

**Department:** Agriculture and Consumer Services

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

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

Streamlining the administrative processes has increased productivity and customer service. Due to these improvements we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Yes, but not on an annual basis. The license renewal fee is valid for a two-year period. Two-year license renewals were issued in FY 16-17 and will be issued again in FY 18-19.

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

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

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

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

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

N/A

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

Department: **Agriculture and Consumer Services**

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

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

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Land Surveying and Mapping	Examination Fee	s.472.011	\$120	2012	Yes	\$120	General Inspection Trust Fund
	Unlicensed Activity Fee	s.472.0365	\$5	1993	Yes	\$5	General Inspection Trust Fund
	Licensure by Endorsement Application Fee	s.472.011	\$200	1993	Yes	\$125	General Inspection Trust Fund
	Voluntary Inactive Renewal Fee	s.472.011	\$150	1993	Yes	\$100	General Inspection Trust Fund
	Continuing Education Provider Fees	s.472.018	\$500	1993	Yes	\$450 Initial \$250 Renewal	General Inspection Trust Fund
	Temporary Certificate Fee	s.472.023	\$100 Individual \$200 Business	1993	Yes	\$25	General Inspection Trust Fund
	Temporary Certificate of Authorization Fee	s.472.023	\$100 Individual \$200 Business	1993	Yes	\$50	General Inspection Trust Fund
	Duplicate Name/Status Change Fee	s.472.011		1993	Yes	\$20	General Inspection Trust Fund
	Application Fee	s.472.011	\$125	1993	Yes	\$125	General Inspection Trust Fund
	Initial License Fee	s.472.011	\$200	1993	Yes	\$125	General Inspection Trust Fund
	Renewal License Fee	s.472.011	\$500	1993	Yes	\$250 biennium non-business \$350 biennium business	General Inspection Trust Fund
	Business License Fee	s.472.011		1993	Yes	\$125	General Inspection Trust Fund
	License Reactivation Fee	s.472.011	\$150	1993	Yes	\$50	General Inspection Trust Fund
	Citations	s.472.0345	\$5,000	1993	Yes	No less than \$500 and no more than \$5000	General Inspection Trust Fund

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

**Department:** 42 Agriculture and Consumer Services      **Budget Period: 2018-19**  
**Program:** 42160200 Sellers of Business Opportunities  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** s.559.805,F.S.  
**Purpose of Fees Collected:** To process franchise exemptions to the Sellers of Business Opportunities Industry in the state of Florida

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>
<u>Receipts:</u>			
Franchise Exemption Fee	241,525	229,847	229,847
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
<b>Total Fee Collection to Line (A) - Section III</b>	<b>241,525</b>	<b>229,847</b>	<b>229,847</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	61,185	61,185	61,185
Other Personal Services	2,388	2,388	2,388
Expenses	21,450	6,685	6,685
Contracted Services	1,105	1,105	1,105
HR Assessment	441	434	421
Refund - State Revenues	-	-	-
Refund Non- State Revenues	-	-	-
OATS Assessment	2,870	2,870	2,870
General Revenue S/C	19,322	18,388	18,388
Indirect Costs Charged to Trust Fund	21,246	21,246	21,246
<b>Total Full Costs to Line (B) - Section III</b>	<b>130,007</b>	<b>114,301</b>	<b>114,288</b>

Basis Used: \_\_\_\_\_  
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<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	241,525	229,847
TOTAL SECTION II	(B)	130,007	114,288
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>111,518</b>	<b>115,559</b>

**EXPLANATION of LINE C:**  
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**SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS**

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 Sellers of Travel  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** s.559.928,F.S.  
**Purpose of Fees Collected:** To provide regulation and oversight to the Sellers of Travel Industry in the State of Florida.

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>
<u>Receipts:</u>			
Initial Fee	160,650	173,106	173,106
Renewal Fee	706,450	576,724	576,724
Document Submission Fee	300	-	-
Travel Independent Agents	425,995	295,817	295,817
Administrative Fines			
<b>Total Fee Collection to Line (A) - Section III</b>	<b>1,293,395</b>	<b>1,045,647</b>	<b>1,045,647</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	432,946	432,946	432,946
Other Personal Services	14,043	14,043	14,043
Expenses	(7,314)	46,443	46,443
Contracted Services	7,056	7,056	7,056
HR Assessment	3,176	3,130	3,038
Refund - State Revenues	19,114	19,114	19,114
OATS Assessment	19,876	19,876	19,876
General Revenue S/C	103,472	83,652	83,652
Indirect Costs Charged to Trust Fund	153,009	153,009	153,009
<b>Total Full Costs to Line (B) - Section III</b>	<b>745,378</b>	<b>779,269</b>	<b>779,177</b>

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

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	1,293,395	1,045,647
TOTAL SECTION II	(B)	745,378	779,177
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>548,017</b>	<b>266,470</b>

**EXPLANATION of LINE C:**  


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

**Department:** Agriculture and Consumer Services

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

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

Streamlining the administrative processes and cross training have increased productivity and customer services. Due to these improvements, we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

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

Fees currently charged are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

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

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

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Sellers of Travel	Registration fee	s. 559.928	\$300 annually set by statute	1991	No	\$300	General Inspection Trust Fund
	Document Submission Fee	s. 559.9295(16)	\$100	1991	No	\$100	General Inspection Trust Fund
	Travel Independent Agents	s.559.928(3)	\$50	2010	No	\$50	General Inspection Trust Fund



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

**Department:** 42 Agriculture and Consumer Servic      **Budget Period: 2018-19**  
**Program:** 42160200 Solicitation of Contributions  
**Fund:** 2321 General Inspection Trust Fund

**Specific Authority:** s.496.406,496.409,and 496.410, F.S.  
**Purpose of Fees Collected:** To provide regulation and oversight to the Solicitation of Contributions Indus  
in the State of Florida

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>
<u>Receipts:</u>			
Registration Fees	3,200,245	2,922,304	2,922,304
Penalties-Late Filing Fee	78,125	104,201	104,201
Administrative Fines	128,073	138,185	138,185
<b>Total Fee Collection to Line (A) - Section III</b>	<b>3,406,443</b>	<b>3,164,690</b>	<b>3,164,690</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	782,275	782,275	782,275
Other Personal Services	25,335	25,335	25,335
Expenses	(13,526)	83,904	83,904
Contracted Services	12,739	12,739	12,739
Operating Capital Outlay	2,376	2,376	2,376
HR Assessment	5,740	5,656	5,490
Refunds	34,457	34,457	34,457
Non-State Refunds	305	305	305
Generall Revenue S/C	272,515	253,175	253,175
Indirect Costs Charged to Trust Fund	276,504	276,504	276,504
<b>Total Full Costs to Line (B) - Section III</b>	<b>1,398,720</b>	<b>1,476,726</b>	<b>1,476,560</b>

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

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	3,406,443	3,164,690
TOTAL SECTION II	(B)	1,398,720	1,476,560
<b>TOTAL - Surplus/Deficit</b>	<b>(C)</b>	<b>2,007,723</b>	<b>1,688,130</b>

**EXPLANATION of LINE C:**  
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## Schedule IA - Part I: Examination of Regulatory Fees

**Department:** Agriculture and Consumer Services

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

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

Streamlining the administrative processes and cross training have increased productivity and customer services. Due to these improvements, we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

The fees charged are set by statute. For charities, fees are determined by the amount of contributions received by the charity. For professional solicitors and professional fundraising consultants, fees apply uniformly to all affected business entities.

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

Fees are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Solicitation of Contributions

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s. 496.405, 496.409 and 496.410, F.S.

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Solicitation of Contributions	Registration fee	ss. 496.405, 496.409 and 496.410	set by statute for charitable organizations and sponsors: \$10 if contributions received from the public during the immediately preceding fiscal year by such organization or sponsor are no more than \$25,000 and the fundraising activities of such organization or sponsor are carried on by volunteers, members, officers, or permanent employees, who are not compensated, primarily to solicit such contributions, provided no part of the assets or income of such organization or sponsor inures to the benefit of or is paid to any officer or member of such organization or sponsor or to any professional fundraising consultant, professional solicitor, or commercial co-venturer; \$75 if contributions more than \$5,000 and less than \$100,000; \$125 if contributions more than \$100,000 and less than \$200,000; \$200 if more than \$200,000 and less than \$500,000; \$300 if more than \$500,000 and less than \$1	2013	No	annual fees are set by statute for charitable organizations and sponsors: \$10 if contributions received from the public during the immediately preceding fiscal year by such organization or sponsor are no more than \$25,000 and the fundraising activities of such organization or sponsor are carried on by volunteers, members, officers, or permanent employees, who are not compensated, primarily to solicit such contributions, provided no part of the assets or	General Inspection Trust Fund

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

**Department:** 42 Agriculture and Consumer Service **Budget Period: 2018-19**  
**Program:** 42160200 Standards (Petroleum Inspection and Weights & Measures Inspection)  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** 525.09,F.S.; 526.51,F.S.;5013913,F.S.;531,F.S.  
**Purpose of Fees Collected:** To defray the expenses incident to inspecting, testing, and analyzing petroleum fuels and vehicular fluids in the state and issue permits fees for scales and weighing devices and metrology calibration services.

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

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

<b>SECTION I - FEE COLLECTION</b>	<b>ACTUAL FY 2016-17</b>	<b>ESTIMATED FY 2017-18</b>	<b>REQUEST FY 2018-19</b>
<b>Receipts:</b>			
Transfers in from DOR - Petroleum Products	10,582,403	10,561,600	10,561,600
Antifreeze Registration Fees	62,800	111,583	111,583
Brake Fluid Permits	21,105	20,767	20,767
Metrology Fees	35,849	42,350	42,350
Meter/Scale Permit Fees	2,506,057	2,207,047	2,207,047
Sale of Surplus property-DMS sale	5,994	-	-
Interest	395,239	448,976	448,976
Penalties-Returned Check Service Fees	30	-	-
Late Penalty-Brake Fluid Renewal	700	-	-
Refunds-Prior Year Expenditures	861	-	-
Refunds	2,164	-	-
Administrative Fines	30,694	33,118	33,118
Reimbursements from Employees	35	-	-
Insurance Recoveries	9,290	-	-
<b>Total Fee Collection to Line (A) - Section III</b>	<b>13,653,221</b>	<b>13,425,441</b>	<b>13,425,441</b>

<b>SECTION II - FULL COSTS</b>			
<b>Direct Costs:</b>			
Salaries and Benefits	6,076,415	6,076,415	6,076,415
Other Personal Services	39,586	39,586	39,586
Expenses	1,546,837	1,602,953	1,602,953
Contracted Services	165,293	165,293	165,293
Operating Capital Outlay	87,508	87,508	87,508
Acquisition of Motor Vehicles	454,035	454,035	454,035
HR Assessment	42,639	42,019	40,780
Refund - State Revenues	27,109	27,109	27,109
Refund - Non-State Revenues	-	-	-
OATS Assessment	298,682	298,682	298,682
Assessment on Investments	30,582	30,582	30,582
General Revenue S/C	247,463	247,463	247,463
Indirect Costs Charged to Trust Fund	2,081,696	2,081,696	2,081,696
<b>Total Full Costs to Line (B) - Section III</b>	<b>11,097,845</b>	<b>11,153,341</b>	<b>11,152,102</b>

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

<b>SECTION III - SUMMARY</b>			
TOTAL SECTION I	(A)	13,653,221	13,425,441
TOTAL SECTION II	(B)	11,097,845	11,152,102
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>2,555,376</b>	<b>2,273,339</b>

**EXPLANATION of LINE C:**  


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

**Department:** Agriculture and Consumer Services

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Standards (Petroleum Inspection and Weights/Measures Inspection)

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

Standards has integrated the inspection of the Weights and Measures program and the Liquefied Petroleum Gas (LP) program. One inspector will now be serving both program areas, saving time and increasing the number of facilities that will be inspected. Weights and Measures inspectors are also trained to inspect LP cylinder cages, allowing for further efficiency.

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

The division continues to look for ways to streamline the processes without decreasing services. In addition to cross training inspectors, a statistical sampling plan has been put into place for petroleum pumps and weighing and measuring devices. This will save time and increase the geographic area that can be covered.

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

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

Fees are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Standards ( Petroleum Inspection and Weights/Measures Inspections)

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

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Petroleum distribution and sales	Inspection Fee	525.09, F.S.	None	1995	No	1/8 cent per gallon gasoline and kerosene (except aviation and #1 fuel oil)	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; 1 - 5 in a single establishment - \$60	2009	Yes	\$40	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; 6 - 10 in a single establishment - \$150	2009	Yes	\$125	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; 11 - 30 in a single establishment - \$200	2009	Yes	\$175	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Retail scales; More than 30 in a single establishment - \$300	2009	Yes	\$225	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; 100 - 250 lb. capacity - \$200	2009	Yes	\$40	General Inspection Trust Fund



Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; >250 - 5,000 lb. capacity - \$200	2009	Yes	\$75	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; >5,000 - 20,000 lb. capacity - \$300	2009	Yes	\$150	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Scales; Over 20,000 lb capacity - \$400	2009	Yes	\$200	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Wheel Load Weighers - \$35	2009	Yes	\$15	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Static Railroad track scales \$1,000	2009	Yes	\$200	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Bely Conveyor Scales - \$500	2009	Yes	\$400	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	In Motion Railroad Track Scales - \$1,000	2009	Yes	\$200	General Inspection Trust Fund
Weights and Measures	Weighing and Measuring Device Permits	531.60 - 65, F.S.	Mass Flow Meters up to 150 lb/minute - \$100	2009	Yes	\$100	General Inspection Trust Fund

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

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42160200 Telemarketing  
**Fund:** 2321 General Inspection Trust Fund  
**Specific Authority:** s.501.605 and 501.607, F.S.  
**Purpose of Fees Collected:** To provide regulation and oversight to the Telemarketing Industry in the State of Florida

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>
<u>Receipts:</u>			
<u>Licenses-Commercial Telephone Sales</u>	610,770	579,388	579,388
<u>Licenses-Sales Persons</u>	597,560	783,132	783,132
<u>Fees-Change Info-Telemarketing Licenses</u>	19,760	30,140	30,140
<u>Fees-Telemarketing Solicitor (DNC list)</u>	74,210	81,793	81,793
<u>Administrative Fines</u>	127,531	137,600	137,600
<b>Total Fee Collection to Line (A) - Section III</b>	<b>1,429,831</b>	<b>1,612,053</b>	<b>1,612,053</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
<u>Salaries and Benefits</u>	322,734	322,734	322,734
<u>Other Personal Services</u>	13,463	13,463	13,463
<u>Expenses</u>	18,159	35,523	35,523
<u>Contracted Services</u>	6,062	6,062	6,062
<u>HR Assessment</u>	2,307	2,273	2,206
<u>Refunds</u>	20,317	20,317	20,317
<u>OATS Assessment</u>	15,268	15,268	15,268
<u>General Revenue S/C</u>	114,386	128,964	128,964
<u>Indirect Costs Charged to Trust Fund</u>	111,255	111,255	111,255
<b>Total Full Costs to Line (B) - Section III</b>	<b>623,951</b>	<b>655,859</b>	<b>655,792</b>

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

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	1,429,831	1,612,053
TOTAL SECTION II	(B)	623,951	655,792
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>805,880</b>	<b>956,261</b>

**EXPLANATION of LINE C:**  


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

**Department:** Agriculture and Consumer Services

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

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

Streamlining the administrative processes and cross training have increased productivity and customer services. Due to these improvements we have been able to handle registrations and filings without additional personnel.

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

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

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

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

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

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

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

Fees are sufficient to cover all costs.

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

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

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

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

Fees are adequate to cover all costs.

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

N/A

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

Department: **Agriculture and Consumer Services**

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

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No; s.501.605 and 501.607,F.S.

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

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

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

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Telemarketing	Commerical Telephone Sellers Licenses	s. 501.605	The following annual fees are set by statute: \$1,500	1991	No	\$1,500	General Inspection Trust Fund
	Sales Person Licenses	s. 501.607	The following annual fees are set by statute: \$50 for telemarketing salespersons	1991	No	\$50	General Inspection Trust Fund
	Changes to Information on Telephone Marketing Licenses	s.501.609(2)	The following annual fees are set by statute: \$10 for changes to information on telephone marketing licenses	1991	No	\$10	General Inspection Trust Fund

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF FRUIT AND VEGETABLES  
INSPECTION AND ENFORCEMENT  
42170100**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**

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

**Department:** 42 Agriculture and Consumer Service      **Budget Period: 2018-19**  
**Program:** 42170100 Fruit and Vegetable Inspection and Enforcement  
**Fund:** 2093 Citrus Inspection Trust Fund

**Specific Authority:** 601.28 & 570.481 F.S.  
**Purpose of Fees Collected:** Fees collected to the extent necessary to perform inspection service

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

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

<b><u>SECTION I - FEE COLLECTION</u></b>	<b>ACTUAL</b>	<b>ESTIMATED</b>	<b>REQUEST</b>
	<b>FY 2016-17</b>	<b>FY 2017-18</b>	<b>FY 2018-19</b>
<u>Receipts:</u>			
Citrus Inspection Program	2,817,644	2,727,890	2,304,393
USDA	4,849,448	4,228,468	4,053,198
License and Bond	9,290	8,100	7,820
Citrus Crop Estimating	1,144,227	1,031,116	876,449
Citrus Marketing Order	2,344,268	2,090,100	1,776,585
Transfer from GR-Cash Supplement	2,000,000	2,500,000	2,500,000
<b>Total Fee Collection to Line (A) - Section II</b>	<b>13,164,877</b>	<b>12,585,674</b>	<b>11,518,445</b>

<b><u>SECTION II - FULL COSTS</u></b>			
<u>Direct Costs:</u>			
Salaries and Benefits	3,297,568	3,222,388	2,900,100
Other Personal Services	322,197	415,000	373,500
Expenses	555,324	1,011,352	910,200
Operating Capital Outlay	6,804	10,000	9,000
Citrus Marketing Order Research	1,644,272	2,344,268	2,090,100
Automated Testing Equipment	44,310	208,677	187,800
USDA	4,896,613	4,228,468	4,053,198
Indirect Costs Charged to Trust Fund	252,922	252,922	252,922
<b>Total Full Costs to Line (B) - Section III</b>	<b>11,020,010</b>	<b>11,693,075</b>	<b>10,776,820</b>

**Basis Used:** Indirect costs are the allocation from Tallahassee of Administrative costs. Budwood expenditures \$494,474 not presented.

<b><u>SECTION III - SUMMARY</u></b>			
TOTAL SECTION I	(A)	13,164,877	11,518,445
TOTAL SECTION II	(B)	11,020,010	10,776,820
<b>TOTAL - Surplus/Defici</b>	(C)	<b>2,144,867</b>	<b>741,625</b>

**EXPLANATION of LINE C:**  
 Fees were held constant from the FY2014-2015, in combination with a declining crop, lead to deficiencies of revenue over expenditures. The General Revenue cash supplement and the excess of CMO Assessments revenue over expenditures create a surplus for the fund.

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

**Department:** 42 Agriculture and Consumer Services      **Budget Period: 2018-19**  
**Program:** 42170100 Fruit and Vegetable Inspection and Enforcement  
**Fund:** 2321 General Inspection Trust Fund

**Specific Authority:** 570.481 F.S.  
**Purpose of Fees Collected:** Fees collected to the extent necessary to perform inspection service or based on set fees from USDA

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

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

<u>SECTION I - FEE COLLECTION</u>	<u>ACTUAL</u> FY 2016-17	<u>ESTIMATED</u> FY 2017-18	<u>REQUEST</u> FY 2018-19
<u>Receipts:</u>			
FMO Inspection Services	2,680,520	2,617,771	2,607,775
Vegetable Inspection Program	1,205,731	1,013,749	1,010,814
Tomato (T-GAP) Registration & Audits	46,975	47,500	47,500
Peanut Marketing Orders	645,311	650,000	650,000
Tobacco Marketing Orders	12,890	14,000	14,000
<b>Total Fee Collection to Line (A) - Section III</b>	<b>4,591,427</b>	<b>4,343,020</b>	<b>4,330,089</b>

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	2,689,361	1,975,746	1,975,746
Other Personal Services	709,760	808,306	808,306
Expenses	1,047,354	975,000	950,000
Vehicle Replacement	352,271	-	-
Marketing Orders	801,704	664,000	664,000
Contracted Services	76,418	60,062	60,062
General Revenue Surcharge	174,060	157,400	157,400
Indirect Costs Charged to Trust Fund	144,285	144,285	144,285
<b>Total Full Costs to Line (B) - Section III</b>	<b>5,995,212</b>	<b>4,784,799</b>	<b>4,759,799</b>

**Basis Used:** Indirect costs are the allocation from Tallahassee of Administrative costs.

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	4,591,427	4,330,089
TOTAL SECTION II	(B)	5,995,212	4,759,799
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(1,403,785)</b>	<b>(429,710)</b>

**EXPLANATION of LINE C:**

FS Peanuts volume down almost 20,000 tons or 8% due to market and weather conditions



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

Department: Agriculture and Consumer Services

Regulatory Service to or Oversight of Businesses or Professions Program:  
Fruit and Vegetable Inspection and Enforcement

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

The division, to reduce expenses, decided not to replace two employees upon their retirement and departure. The savings realized is Salaries & Benefits of \$100,611, which is net of two pay increases for performing extra duties of the Administrative Assistant. Additionally, the vacancy remaining after a lateral move was filled temporarily by a retired employee returning as OPS for a netted savings of \$27,458.

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

Additional cost cutting measures that are planned / have been completed thusfar in FY2017-2018, the division decided not to replace one position in the Personnel section, which was recently vacated, saving \$63,582. Additionally, the division found an alternative solution for testing citrus fruit maturity thus saving the division \$29,306.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level? Yes
4. Are the fees charged for the regulatory service or oversight to businesses or professions based on revenue projections that are prepared using generally accepted governmental accounting procedures or official estimates by the Revenue Estimating Conference, if applicable? Yes
5. Are the fees charged for the regulatory service or oversight to businesses or professions adequate to cover both direct and indirect costs of providing the regulatory service or oversight? No
6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for annual fees based on the size of the regulated business; or do fees provide a

financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection? Yes

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

Citrus diseases (citrus greening and citrus canker) resulted in the destruction or abandonment of many citrus groves in the citrus production areas of Florida. Even citrus trees that remain viable are experiencing lower fruit yields. Citrus canker is caused by a bacterial pathogen that spreads through wind, flooding, and human transport, and results in unsightly lesions in the fruit that make it undesirable for consumption. Citrus greening is caused by a bacterium that is spread by the Asian citrus psyllid and leads to fruit drop, smaller, bitter and asymmetrical fruit, and the eventual death of the tree. There are no cures for either of these diseases, and control strategies involve heavy pesticide use and the application of nutrient supplements in the soil as well as the foliage of the trees. As these diseases have spread, the fresh fruit yield and consequently the number of cartons needing to be certified for export by the Department have gone down each year. Since 2000, citrus acreage in Florida has decreased by 270 thousand acres, while production of citrus in the same period has shrunk by more than 150 million boxes. These funds will allow the department to continue to provide services to the citrus industry which is an essential part of the state's economic health.

Without this funding, the Florida Department of Agriculture and Consumer Services Divisions of Fruit and Vegetables and Plant Industry will be forced to reduce operations, including staff, to a level where it will no longer provide the needed services to the citrus industry. Consequently, Florida citrus growers will

be left without a comprehensive statistics program, sufficient inspectors, and clean budwood from which to propagate reset trees to replace diseased ones.

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

The division continues to focus on process improvements, time management and efficiencies to reduce expenditures.

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

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Fruit and Vegetable Inspection and Enforcement

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): Yes; F.S. 601.28

What percent of the regulatory cost is currently subsidized? (0 to 100%) **50%**

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

What is the current annual amount of the subsidy? \$ **2,000,000**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Citrus Inspection Program	Packing House Inspection Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.1300	Citrus Inspection TF
	Packing House Partners in Quality (PIQ) Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0100	Citrus Inspection TF
	Customer Assisted Certification Program (CACP) Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0231	Citrus Inspection TF
	CACP Non-eligible Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0271	Citrus Inspection TF
	Fresh Cannery Inspection Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0666	Citrus Inspection TF
	Roadside Stand Inspection Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0300	Citrus Inspection TF
License and Bond	Citrus Agent Registration	570.48; 601.59			No	10.00	Citrus Inspection TF
	Citrus Fruit Dealers Licenses	570.48; 601.59			No	25.00	Citrus Inspection TF
Florida Ag Statistics Service	Citrus Crop Estimating Fees	570.48; 570.481; 601.28; 601.27; 601.29; 601.32			No	0.0148	Citrus Inspection TF

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF AQUACULTURE  
42170300**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**

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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-19**  
**Program:** 42170300 Aquaculture Certification  
**Fund:** 1000, 2321 General Revenue and General Inspection Trust Fund  
**Specific Authority:** 597.004  
**Purpose of Fees Collected:** To fund the Certification Program that regulates Aquaculture farms which produce products for sale to the public.

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

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

**SECTION I - FEE COLLECTION**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
Receipts:						
Aquaculture Certification Fees		101,615		102,000		102,000
Donations						
Refunds						
<b>Total Fee Collection to Line (A) - Section II</b>	-	101,615	-	102,000	-	102,000

**SECTION II - FULL COSTS**

	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
Direct Costs:						
Salaries and Benefits	342,558	-	342,558		342,558	
Other Personal Services						
Expenses	19,994		19,994		19,994	
Operating Capital Outlay						
Contracted Services	760	-	760		760	
HR	2,338		2,338		2,338	
Refund of State Revenues		2,050	2,338		2,338	
General Revenue S/C		5,407				
Indirect Costs Charged to Trust Fund						
<b>Total Full Costs to Line (B) - Section III</b>	365,650	7,457	365,650	-	365,650	-

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

**SECTION III - SUMMARY**

		ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
		GR	GITF	GR	GITF	GR	GITF
TOTAL SECTION I	(A)	-	101,615	-	102,000	-	102,000
TOTAL SECTION II	(B)	365,650	7,457	365,650	-	365,650	-
<b>TOTAL - Surplus/Deficit</b>	(C)	(365,650)	94,158	(365,650)	102,000	(365,650)	102,000

**EXPLANATION of LINE C:**

The Division collects a statutory fee for this program. Excess revenues are used to cover the deficit in the Division's Shellfish Processing plant Inspection Program.

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

**Department:** Agriculture & Consumer Services

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

**Program:** Aquaculture Certification

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

Historically aquaculture regulatory on-site compliance visits have been conducted unannounced. This policy can result in visits with no access because of locked gates, locked buildings, watch dogs and other uninvited guest deterrents, in addition to the farmer/managers not being present to accompany staff on facility inspection. Routine compliance site visits for facilities with limited access are now scheduled in advance, eliminating the need for unnecessary repeat return attempts to inspect a facility.

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

Improve planning, scheduling, and coordination to improve staff time efficiencies and effectiveness resulting in increased productivity per FTE, while reducing program cost per visit without having a detrimental impact on service provided to the farmer or the Division's program responsibilities.

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

Yes, the Legislature established the regulatory function in the Department of Agriculture and Consumer Services, Division of Aquaculture because aquaculture is an agricultural commodity and the Legislature wanted aquaculture to be part of the one-stop regulatory permitting process to eliminate duplication of regulation and agency oversight, and provide a concise, effective, and efficient permitting process for Florida aquaculture farmers.

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

The Florida Legislature set the original fee in FY 1997-98 and increased (doubled) the fee in FY 2008-09 from \$50 to \$100.

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

No, the number of field staff and the fee is set by the Florida Legislature. Reducing field staff (4 for 1,000 farms that must be inspected twice a year) would greatly diminish the protection to the state's resources.

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

No, the aquaculture certification fees are established in statute and apply equally.

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

The Aquaculture Certification Program benefits the general public by controlling exotic/invasive aquatic species, conserving waters of the state, and protecting, maintaining, and improving water quality for public use by providing that no waste water be discharged from aquaculture farms into any waters of the state without first being given the degree of treatment necessary to protect Florida waters. This program also promotes the utilization of wildlife, fish, and other aquatic life, and provides for domestic, agricultural, industrial, recreational, and other beneficial uses. Raising fees to cover



program costs will put the Florida Aquaculture Industry at a competitive disadvantage in both the National and International marketplace.

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

Any reduction of the state subsidy will require the reduction and/or elimination of legislatively directed agency responsibilities which will directly impact all Florida residents and visitors, Florida's wildlife and Florida's natural resources.

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

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Aquaculture Certification

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): No and s. 597.004, F.S.

What percent of the regulatory cost is currently subsidized? (0 to 100%) 100% General Revenue and .000% General Inspection Trust Fund

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

What is the current annual amount of the subsidy? \$365,650 GR and \$0 GITF

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Aquaculture	Aquaculture Certification Fees	597.004 F.S.(1)(h)	\$100	2008	No	\$100	General Inspection Trust Fund

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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-19**  
**Program:** 42170300 Shellfish Processing Plant Inspection  
**Fund:** 1000, 2321 General Revenue and General Inspection Trust Fund  
**Specific Authority:** 597.020  
**Purpose of Fees Collected:** No fees collected.

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

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

**SECTION I - FEE COLLECTION**

Receipts:	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
<b>Total Fee Collection to Line (A) - Section II</b>	-	-	-	-	-	-

**SECTION II - FULL COSTS**

Direct Costs:	ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
	GR	GITF	GR	GITF	GR	GITF
Salaries and Benefits	148,406	116,050	258,980	138,470	258,980	138,470
Other Personal Services		10,773				
Expenses	36,451	(503)	29,383		29,383	
Contracted Services			6,720		6,720	
Operating Capital Outlay						
HR	875	591	2,838	652	2,838	652
General Revenue Service Charge		1,621	2,838	652	2,838	652
Indirect Costs Charged to Trust Fund						
<b>Total Full Costs to Line (B) - Section III</b>	185,732	128,531	300,760	139,774	300,760	139,774

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

**SECTION III - SUMMARY**

		ACTUAL FY 2016-17		ESTIMATED FY 2017-18		REQUEST FY 2018-19	
		GR	GITF	GR	GITF	GR	GITF
TOTAL SECTION I	(A)	-	-	-	-	-	-
TOTAL SECTION II	(B)	185,732	128,531	303,598	140,426	303,598	140,426
<b>TOTAL - Surplus/Deficit</b>	(C)	(185,732)	(128,531)	(303,598)	(140,426)	(303,598)	(140,426)

**EXPLANATION of LINE C:**

The Division does not collect any fees for this program due to the small number of plants inspected. Excess revenues from the Aquaculture Certification Program are used to cover deficit.

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

**Department:** Agriculture & Consumer Services

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

**Program:** Shellfish Processing Plant Inspection

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

The Department recognizes that large operational efficiencies in this program are not feasible since: (1) the required level of inspector standardization, (2) the required level of inspections, and (3) the number of required inspections are prescriptive according to the National Shellfish Sanitation Program.

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

Large operational efficiencies in this program are not feasible as stated in #1 above.

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

Yes, the regulatory activity is an appropriate function and the agency should continue at the current level for this molluscan shellfish public health program. The current regulatory activity and level of regulatory activity is what is required by the National Shellfish Sanitation Program. Should the regulatory activity fall below that prescribed by the National Shellfish Sanitation Program, the safety of Florida-produced and processed molluscan shellfish would be questioned and Florida shellfish would not be allowed to enter interstate commerce.

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

No fees are charged for this molluscan shellfish public health program. The shellfish consuming public is the primary beneficiary of safe and wholesome shellfish.

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

No fees are charged for this molluscan shellfish public health program. The shellfish consuming public is the primary beneficiary of safe and wholesome shellfish.

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

No fees are charged for this molluscan public health program. There is no entity to charge.

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

7. b). A reasonable fee cannot be charged to cover a significant part of the cost of the processing plant program. With the number of processors (113), it makes the unit cost approximately \$3,868. This fee would devastate this small industry. General Revenue is appropriated because the general public is the primary beneficiary of safe and wholesome shellfish. Consumers enjoy eating molluscan shellfish raw, whole, and alive. Because consumers choose to consume shellfish in this product form (raw), and raw oysters, clams, and mussels can be passive vectors of enteric disease which pose a potential human health hazard, stringent regulations must occur. For these reasons, molluscan shellfish must continue to be regulated to ensure a safe product and to compete with other gulf states funded with other dollars.

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

As stated above, there is no reasonable plan to reduce the state General Revenue funding by charging the molluscan shellfish processing industry. Because the consumer enjoys the public health benefits of this regulatory program, General Revenue funding remains the most appropriate revenue source. A possible alternative to General Revenue funding may be legislation to collect a tax at retail and food establishments for each shellfish sold to the consumer. However, such a tax may be burdensome on the Department of Revenue to collect and on food proprietors to implement.

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

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: Shellfish Processing Plant Inspection

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

What percent of the regulatory cost is currently subsidized? (0 to 100%) 68% General Revenue and 32% General Inspection Trust Fund

If the program is subsidized from other state funds, what is the source(s)? GR & GITF

What is the current annual amount of the subsidy? \$297,921 GR and \$139,122 GITF

Service / Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
N/A							

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF ANIMAL PEST AND DISEASE CONTROL  
42170500**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**



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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-2019**  
**Program:** 42170500 Animal Disease Control  
**Fund(s):** 1000, 2321, 2360 General Revenue, General Inspection Trust Fund and Ag Emergency Eradication Trust Fund  
**Specific Authority:** 534, 534.021, 534.031, 534.041, 534.051, 534.083(1), 585.002(5)  
**Purpose of Fees Collected:** To facilitate the Division's ability to regulate the movement of animals into and within the state to control and or prevent dangerous animal diseases.

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

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

Receipts:	ACTUAL FY 2016-2017			ESTIMATED FY 2017-2018			REQUEST FY 2018-2019		
	GR	GITF	AEETF	GR	GITF	AEETF	GR	GITF	AEETF
Vet Inspection Certificate-Intrastate		41,470			44,284			44,284	
Apply for Approval Quarantine Facility		3,300			3,900			3,900	
Contagious Equine Metritis Service		572,000			596,410			596,410	
Vet Inspection Certificate -Large Interst.		21,918			20,219			20,219	
Vet Inspection Certificate -Equine Interst.		73,970			78,323			78,323	
Vet Inspection Certificate -Small Interst.		42,770			46,485			46,485	
Equine Interstate Passport Card		9,395			8,730			8,730	
Negative EIA Test Verification Card		1,645			1,842			1,842	
Equine Event Extension		6,845			7,005			7,005	
Garbage Feeding Permit		4,800			5,388			5,388	
Transport Animal Carcass Permit		7,000			9,133			9,133	
Brand Certification Renewal		7,290			7,729			7,729	
Fuel Tax and Interest Earnings			341,660			341,660			341,660
Miscellaneous		18,212			17,526			17,526	
<b>Total Fee Collection to Line (A) - Section III</b>	<b>-</b>	<b>810,615</b>	<b>341,660</b>	<b>-</b>	<b>846,974</b>	<b>341,660</b>	<b>-</b>	<b>846,974</b>	<b>341,660</b>

Direct Costs:	GR			GITF			AEETF		
	GR	GITF	AEETF	GR	GITF	AEETF	GR	GITF	AEETF
Salaries and Benefits	3,080,315	123,433	146,943	2,997,781	247,981	248,421	2,997,781	247,981	248,421
Other Personal Services	11,196	-	-	12,104	13,000		12,104	13,000	
Expenses	186,745	231,378	-	190,000	211,888		190,000	211,888	
Acquisition of Motor Vehicles	-	45,281	-		-				
Operating Capital Outlay	2,030	-	-	26,500	-		25,000	-	
Administrative Overhead	544,545	148,391	182,961	580,193	152,401	162,979	580,193	152,401	162,979
HR Assessment	21,022	1,238	-	21,000	1,240		21,000	1,240	
Risk Management Insurance	-	56,059	-		56,059			56,059	
Contracted Services	-	31,087	-		43,958			45,000	
OATS Assessment	-	36,174	-	-	36,174	-	-	36,174	-
Refunds	-	685	-	-	685	-	-	685	-
General Revenue S/C	-	69,268	-	-	70,917	-	-	70,917	-
<b>Total Full Costs to Line (B) - Section III</b>	<b>3,845,853</b>	<b>742,994</b>	<b>329,904</b>	<b>3,827,578</b>	<b>834,302</b>	<b>411,400</b>	<b>3,826,078</b>	<b>835,344</b>	<b>411,400</b>

<b>SECTION III - SUMMARY</b>										
		GR	GITF	AEETF	GR	GITF	AEETF	GR	GITF	AEETF
TOTAL SECTION I	(A)	-	810,615	341,660	-	846,974	341,660	-	846,974	341,660
TOTAL SECTION II	(B)	3,845,853	742,994	329,904	3,827,578	834,302	411,400	3,826,078	835,344	411,400
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(3,845,853)</b>	<b>67,621</b>	<b>11,756</b>	<b>(3,827,578)</b>	<b>12,672</b>	<b>(69,740)</b>	<b>(3,826,078)</b>	<b>11,630</b>	<b>(69,740)</b>

**EXPLANATION of LINE C:**  
 Expenditures in this document represent expenditures of the Bureau of Animal Disease Control. Our sole regulatory program is housed in this Bureau. The division is supported in its mission by the Bronson Animal Disease Diagnostic Laboratory which provides essential assistance through their animal disease testing and diagnostic programs. The primary beneficiaries of animal disease surveillance are the citizens of Florida, ensuring an available and safe food supply and protection from zoonotic diseases, which are diseases that can spread from animal to human, animal industries and the animal population, not the individual animal or animal owner. Without the cooperation of the individual animal owner, an undiagnosed zoonotic and/or foreign animal disease could be introduced into the state and destroy economic segments of the industry (Florida, nationally and internationally), and severely impact public health in the event of a zoonotic disease epidemic. Current fees are reasonable as the objective is to encourage participation in the Division's disease surveillance and control activities.

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

**Department:** Agriculture and Consumer Services

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

**Program:** Animal Disease Control

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

The Division of Animal Industry has achieved operational efficiencies through enhanced emergency response capabilities, including enhancing a State Animal Response Team (SART), establishing partnerships with other entities to assist in emergency response efforts and coordinating county emergency response efforts as related to animal issues. Establishing and maintaining a close working relationship with partners in the Department of Health, Fish and Wildlife Commission, and the University of Florida, College of Veterinary Medicine has greatly improved our operational efficiencies and improved services in response to natural disasters such as hurricanes and to outbreaks of Dangerous Transmissible Diseases.

The division improved the technology across the field personnel by issuing smart phones and tablets to improve efficiencies in site visits and inspections. The tablets have allowed for the collection of electronic signatures onsite after the inspection and allows for electronic submission of required forms. This improvement is saving time and funds for printing, mailing and personnel work time by simply changing the process. The division has also automated two of the required permits issued to producers. For producers to receive these permits, they no longer have to wait for the division office to be open to issue the permits, the producer can submit the request online and receive the required documentation for the permit issuance. The division has also consolidated job functions of the Equine Alternative Movement documentation to a central location.

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

The division has made the request and received the statutory update implemented 2017-2018 to remove the renewal fee and increase the renewal timeframe from 5 to 10 years, for the Marks and Brands Program. Removing this fee and increasing the time between renewals will save the division work time and save the

consumer money and time between. The division will continue to identify forms that can continue to be moved into the format for electronic submission.

Operational efficiencies have been implemented in an attempt to meet performance measures. A new maintenance plan has been developed and implemented to improve the care and readiness of the emergency response equipment; personnel in each of our 6 districts have been tasked with the new duties. Improvements have been made to our SART newsletter, the location and availability of all emergency response equipment within the state is clearly defined and updated throughout the year. The maintenance program will ensure that each piece of response equipment is well maintained thus avoiding the need for costly repairs that could easily exceed \$10,000 to \$15,000 if new equipment such as large trailers and generators had to be purchased due to lack of proper maintenance.

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

Yes. The primary beneficiaries of animal disease surveillance are the citizens of Florida, ensuring an available and safe food supply and protection from zoonotic diseases (diseases that can spread from animal to human), animal industries and the animal population. The Division of Animal Industry has experienced significant reduction in staff over the past 6 years as our programs have evolved. Our responsibilities have been expanded to include enhanced Emergency Response, including establishing a State Animal Response Team (SART), establishing partnerships with other entities to assist in emergency response efforts and coordinating county emergency response efforts as related to animal issues, responsibility for the Emergency Support Function (ESF)-17 at the State Emergency Operations Center (SEOC), increased assistance on animal cruelty/abuse investigations and significantly increased management of cooperative agreements and grants from a variety of federal entities. The responsibilities for enhanced animal disease surveillance and monitoring of animals introduced into the state that pose a risk of introducing diseases such as avian influenza, chronic wasting disease, contagious equine metritis, Equine Herpes Virus 1 (EHV-1), and piroplasmiasis have increased significantly. These issues are all tied to our regulatory service, Introduction of Animals into the State, for the prevention, control, and eradication of Dangerous Transmissible Diseases of Animals.

Due to having these regulatory capabilities, the division eradicated the New World Screwworm from the Lower Florida Keys, this fiscal year. These regulatory activities and authority allowed the Division to safeguard Florida's livestock and kept this foreign animal pest from entering the mainland of Florida. The New World Screwworm could have potentially devastated Florida's multi-million-dollar livestock industry. Therefore, the continuation of all funding

sources, including General Revenue, is justified due to the critical animal and public health benefit.

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

No. Fees charged are set and capped by statute and/or rule. As disease surveillance is our primary objective, it is incumbent on the Division to maintain fees at a reasonable level to encourage citizens, livestock owners, veterinarians, etc. to continue to participate in our surveillance activities. This surveillance for dangerous transmissible diseases generally does not benefit the individual animal owner, but enables regulatory controls to be implemented to prevent the spread of disease.

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

No. Fees charged are set and capped by statute and/or rule. This program is one that protects the general public and has appropriated mostly General Revenue to continue its functions. As disease surveillance and control are our primary objectives, it is incumbent on the Division to maintain fees at a reasonable level to encourage citizens, livestock owners, veterinarians, etc. to continue to participate in our surveillance activities. The primary beneficiaries of animal disease surveillance are the citizens of Florida (ensuring an available and safe food supply and protection from zoonotic diseases – diseases that can spread from animal to human), animal industries and the animal population, not the individual animal or animal owner. Without the cooperation of the individual animal owner, an undiagnosed zoonotic and/or foreign animal disease could be introduced into the state and destroy economic segments of the industry (Florida, nationally and internationally), and severely impact animal and public health in the event of a zoonotic disease epidemic. As an example, because of worldwide concerns related to avian influenza in birds and people, our Division greatly expanded laboratory testing of domestic birds and wild birds. This was part of a nationwide and international effort to carry out surveillance for this very serious animal and public health threat.

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

standards by assessing a re-inspection fee if violations are found at initial inspection?

Current fees are reasonable as the objective is to encourage participation in the Division's disease surveillance and animal movement activities.

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

All other states carry out regulatory services and oversight of animal health of livestock and poultry. Without these functions being carried out in Florida, agricultural animal industries could not market their animals or products to other states, because of other state or federal restrictions. If producers were required to bear these additional costs, the competitive economic disadvantage would be so great that they could be expected to go out of business. Again, these regulatory measures serve to safeguard not the individual producer, but the animal industries as a whole and to protect animal and public health.

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

The majority of the costs of our program are either Salaries and Benefits or facilities/fuel costs and other operating expenses. The division has a plan to reduce expenses by automating processes whenever possible. Each inspector has been issued a tablet that is capable of storing electronic forms and other documents, thus reducing the cost of paper and other printed materials. District supervisors have reviewed and mapped out the most efficient routes for inspectors to perform site inspections, resulting in reduced fuel and vehicle maintenance cost. Division staff also car pool when necessary to inspect a premise or facility that requires more than one inspector.

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

Department: **Agriculture and Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: **Animal Industry - Introduction of Animals Into the State**

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

What percent of the regulatory cost is currently subsidized? (0 to 100%): **85%**

If the program is subsidized from other state funds, what is the source(s)? **General Revenue/Ag Emergency Trust Fund**

What is the current annual amount of the subsidy? **\$4,175,864**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Introduction of Animals Into the State	Livestock; Marks and Brands; Stamping Beef	534	\$5; \$1,000	1993, 1997	No	\$5; \$1,000	General Inspection Trust Fund
	Recording of marks or brands	534.021	\$10	1997	No	\$10	
	Certified copies of marks and brands	534.031	\$2	1975	No	\$2	
	Renewal of certificate of mark or brand	534.041	\$5	1997	No	\$5	
	Transfer of ownership of mark or brand	534.051	\$10	1975	No	\$10	
Introduction of Animals Into the State	5C-4, Animal Health Regulations for Exhibition						General Inspection Trust Fund
	Equine Interstate Passport Card (DACS-09207) Application (DACS-09219)	585.002(5)	\$200	2006	Yes	\$15; \$5	
	Negative EIA Test Verification Card (DACS-09160) Application (DACS-09206)	585.002(5)	\$200	2006	Yes	\$5	
	Equine Event Extension (A Permit)(DACS-09051)	585.002(5)	\$200	2006	Yes	\$10; \$5	
Introduction of Animals Into the State	5C-11, Swine Garbage Feeding						General Inspection Trust Fund
	Application for Permit to Feed Garbage to Swine (AI-15/DACS-09015)	585.002(5)	\$200	2002	Yes	\$50, \$100, \$150, \$200	
Introduction of Animals Into the State	5C-18, Equine Infectious Anemia						General Inspection Trust Fund
	Request for a permit to conduct EIA tests	585.002(5)	\$200	1999	Yes	\$50	
	Request for approved quarantine premises	585.002(5)	\$200	1999	Yes	\$200	
Introduction of Animals Into the State	5C-22, Contagious Equine Metritis						General Inspection Trust Fund
	Request for inspection for approval as a quarantine facility	585.002(5)	\$200	1993	Yes	\$150; \$100	
	Entry of horse into CEM testing/treatment program	585.002(5)	\$1,500	1993	Yes	\$1,250; \$750	
Introduction of Animals Into the State	5C-23, Transporting Animal Carcasses/Refuse						General Inspection Trust Fund
	Application and Permit to Transport Animal Carcasses/Refuse (DACS-09056)	585.002(5)	\$200	1999	Yes	\$200	
Introduction of Animals Into the State	5C-24, Schedule of Fees for Services						General Inspection Trust Fund
	Official Certificate of Veterinary Inspection (OCVI) (DACS-09000)	585.002(5)	\$200	1999, 2002	Yes	\$65	
	OCVI Equine (DACS-09002)	585.002(5)	\$200	1999, 2002	Yes	\$65	
	VS Form 9-3	585.002(5)	\$200	1999, 2002	Yes	\$50	
	OCVI Avian (DACS-09023)	585.002(5)	\$200	1999, 2002	Yes	\$100	

	Special Individual	585.002(5)	\$200	1999, 2002	Yes	\$30	
	OCVI Dog Cat Movement (DACS-09085)	585.002(5)	\$200	1999, 2002	Yes	\$65	
	OCVI Dog Cat Sale (DACS-09086)	585.002(5)	\$200	1999, 2002	Yes	\$65	

**STATE OF FLORIDA  
DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

**DIVISION OF PLANT PEST AND DISEASE CONTROL  
42170600**

**EXHIBITS AND SCHEDULES**

**LEGISLATIVE BUDGET REQUEST  
2018 - 2019**



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

**Department:** 42 Agriculture and Consumer Services **Budget Period: 2018-19**  
**Program:** 42170600 Apiary Inspection  
**Fund:** 1000, 2610, 2360, 2507 General Revenue, Federal Grants TF, Ag Emergency Eradication TF, Plant Industry TF  
**Specific Authority:** Ch 581.021.14, F.S.  
**Purpose of Fees Collected:** To help support the inspection and certification of honeybee colonies in order to maintain a healthy Apiary Industry.

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

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

**SECTION I - FEE COLLECTION**

	ACTUAL FY 2016-17				ESTIMATED FY 2017-18				REQUEST FY 2018-19			
	GR	FGTF	AEETF	PITF	GR	FGTF	AEETF	PITF	GR	FGTF	AEETF	PITF
Receipts:												
Apiary Registration Fees				75,090				85,000				85,000
Special Inspections - Apiary				38,277				30,000				30,000
Stock Dealer Registration Fees				-				-				-
U.S. Grants		49,711				76,077				76,077		
Fuel Tax Allocations			482,650				482,650				482,650	
Penalties - Returned Check Service Fees				30				30				30
<b>Total Fee Collection to Line (A) - Section I</b>	<b>-</b>	<b>49,711</b>	<b>482,650</b>	<b>113,396</b>	<b>-</b>	<b>76,077</b>	<b>482,650</b>	<b>115,030</b>	<b>-</b>	<b>76,077</b>	<b>482,650</b>	<b>115,030</b>

**SECTION II - FULL COSTS**

	ACTUAL FY 2016-17				ESTIMATED FY 2017-18				REQUEST FY 2018-19			
	GR	FGTF	AEETF	PITF	GR	FGTF	AEETF	PITF	GR	FGTF	AEETF	PITF
Direct Costs:												
Salaries and Benefits	50,460	22,146	445,457			26,757	517,610			26,757	517,610	
Other Personal Services			20,514	18,442			55,679	20,000			55,679	20,000
Expenses	20,473	16,622		23,611	20,473	47,570		32,550	20,473	47,570		32,550
Operating Capital Outlay		9,193						5,006				
Contracted Services	612			225	103				103			
Human Resource Assessment			70	1,368			70				70	
OATS Assessment		1,751		93,639		1,750		93,639		1,750		93,639
Refund State Revenues				269				269				269
<b>Total Full Costs to Line (B) - Section II</b>	<b>71,546</b>	<b>49,711</b>	<b>466,042</b>	<b>137,553</b>	<b>20,576</b>	<b>76,077</b>	<b>573,359</b>	<b>151,463</b>	<b>20,576</b>	<b>76,077</b>	<b>573,359</b>	<b>146,457</b>

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

**SECTION III - SUMMARY**

TOTAL SECTION I	(A)	-	49,711	482,650	113,396	-	76,077	482,650	115,030	-	76,077	482,650	115,030
TOTAL SECTION II	(B)	71,546	49,711	466,042	137,553	20,576	76,077	573,359	151,463	20,576	76,077	573,359	146,457
<b>TOTAL - Surplus/Deficit</b>	(C)	<b>(71,546)</b>	<b>-</b>	<b>16,607</b>	<b>(24,156)</b>	<b>(20,576)</b>	<b>-</b>	<b>(90,709)</b>	<b>(36,433)</b>	<b>(20,576)</b>	<b>-</b>	<b>(90,709)</b>	<b>(31,427)</b>

**EXPLANATION of LINE C:**

The registration and inspection fees that are collected are not sufficient to cover actual program costs. However, the actual costs incurred are insignificant in comparison to the service rendered and its impact on Florida's public and economic health. If one calculates the value of all citrus, watermelons, strawberries, blueberries, squash, cucumber, avocado, lychee, longans and other minor agricultural crops, and crops produced by home gardeners, this is the partial value of honey bees, as all of these crops need pollen transferred from one flower to the other for this pollination and fertilization to produce a marketable crop. The industry is under considerable financial pressure from imported honey, low pollination fees and ever increasing overheads, and cannot shoulder additional costs directly. The contribution of our Africanized Honey Bee activities for all of Florida's citizens, tourists, guests, outdoor enthusiasts and other is a PUBLIC SAFETY SERVICE. Raising fees sufficiently to cover these program costs would require so high an assessment from the industry as to damage its competitive position with similar entities in other states.

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

**Department:** Agriculture and Consumer Services

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

Apiary Inspection Program

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

Operating within budget constraints, we have continued to maintain our priority regulatory registration, inspection and compliance agreements and monitoring Africanized honey bee (AHB) oversight responsibilities. We have experienced over 670% growth in registered beekeepers since 2005, approaching 4,500 registered beekeepers and approximately 512,000 colonies. Best management requirements (BMRs) under direction 5B-54.0105 The Beekeeper Compliance Agreement – Best Management Requirements for Maintaining European Honeybee Colonies (FDACS-08492, revised 09/13) have been instituted, which requires a site visit by apiary field inspectors to verify beekeeper compliance and analyzing of honey bee samples in the Apiary identification laboratory in Gainesville without an increase in staffing. Apiary field supervisors and field staff have been trained to give public, organizational, state and community presentations on a variety of honey bee topics including, but not limited to, the aggressive defensive behavior of Africanized honey bee and honey bee health issues.

Apiary services to all Florida's consumers have increased significantly without additional resources being required; however, there is now extremely limited flexibility to meet any additional demands without increasing resources. In terms of costs to run the program, we continue to improve our use of computer and associated technologies to achieve greater efficiencies.

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

The bottleneck that has resulted in diminished efficiencies occurs in the Division's USDA-Certified Africanized Honey Bee Identification Laboratory. The growing presence and spread of AHB in Florida and the concerns throughout the Southeast have taxed the AHB ID Laboratory. These concerns have resulted in dozens of samples being submitted for USDA-ID and FABIS (Fast Africanized Honey Bee Identification System) for processing from public, private,

governmental and industry groups in Florida, plus from other Departments of Agriculture in sister states in the Southeast.

We continue to gain efficiencies by training select apiary inspectors in the most labor intensive aspects of the AHB morphometric identification which is preparing submitted samples. Sample preparation requires dissection and mounting of selected honey bee body structures on microscope slides.

A new initiative in pilot testing is having apiary inspectors certify, in a prescribed window of time, if honey bee colonies are behaviorally manageable or not. If not, a sample is collected for further analysis. This initiative will track sample quantity change over time in the AHB ID Laboratory.

A pilot ‘Mobile Office Computing’ project has been started to explore the use of existing wireless technology to free apiary field inspectors from being anchored to fixed office locations. The goal is to give the inspectors the ability to use their vehicles as mobile offices to record regulatory data as well as distribute registration documents, inspection reports and a variety of other documents directly to the consumer in real time. This initiative should also allow field inspectors to electronically submit certificates, permits and similar documents/reports to Gainesville for immediate processing—without having to return to an office. This will reduce overhead costs and time needed to access those fixed resources. The successful implementation of this project will result in definable efficiencies in time and resources and increased value to our consumer base, helping to reduce postage and fuel cost.

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

Honey bees are the foundational pollinator species for successful agricultural production of many fruits, vegetables and berry crops in Florida. Under the guidance of the Presidential Memorandum -- Creating a Federal Strategy to Promote the Health of Honey Bees and Other Pollinators, Florida is among the leading agencies on Managed Pollinator Protection Plans (MP3). Without a healthy and vibrant apiculture industry, the production of citrus, vegetables, watermelons, strawberries, blueberries and many other crops would suffer from lack of pollination that allows a fruit, melon vegetable or berry to form. Without pollination there is no crop and no agriculture business revenue. Estimates from the Division of Marketing place the value of Florida agricultural crops dependent on honey bees for pollination at \$1.4 billion. If growers lose their markets they rarely regain them due to extreme market competition.

Africanized honey bees, the extremely defensive and aggressive relative of the gentle, managed European honey bee, are increasing their presence in Florida. Florida has lost livestock, pets and wildlife as a result of mass stinging events.

Dozens of citizens have sought emergency medical attention from non-fatal stinging encounters with Africanized honey bees. In 2008, Florida experienced its first human fatality from an African swarm attack in the Kissimmee area. The Division of Plant Industry (DPI) tracks the movement and spread of these dangerous insects by monitoring and maintaining over 200 Africanized honey bee traps in the state of Florida. DPI maintains the only USDA-Certified Africanized Honey Bee Identification personnel in the Southeast.

This regulatory activity should continue at its current level at a minimum. Expansion in the future is highly advised due to the increasing spread of the Africanized honey bee which negatively affects Florida agriculture and public safety. The regulatory duties conducted by the division minimize the impacts of many serious pests and diseases of honey bees and helps ensure a safe and healthy agriculture industry.

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

The fees for registration are established and capped by Chapter 586.045 (3), F.S., at \$100 and do not cover the cost of the regulatory oversight. Special inspection fees, as established by rule, cover the cost of providing the special regulatory service. The division is prohibited from charging special inspection fees in excess of the cost to provide the service. We are in the process of restructuring our registration fees which will increase revenues.

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

No. The registration and inspection fees that are collected are insignificant in comparison to the services rendered. The industry is under considerable financial pressure from imported honey, low pollination fees, colony collapse disorder and ever-increasing overheads, and cannot shoulder additional direct costs.

The contribution of our Africanized honey bee activities for all of Florida's citizens, tourists, guests, outdoor enthusiasts, and others is an essential public safety service. Education and outreach efforts to prevent more human fatalities in Florida are our ultimate concern.

6. Are the fees charged for the regulatory service or oversight to businesses or professions reasonable and do they take into account differences between the types of professions or businesses that are regulated? For example, do fees reflect the amount of time required to conduct inspections by using a sliding scale for

annual fees based on the size of the regulated business; or do fees provide a financial incentive for regulated entities to maintain compliance with state standards by assessing a re-inspection fee if violations are found at initial inspection?

Since only one type of entity or portion of the apiculture industry is regulated by fees, there is no difference between types of consumers or services, except the number of colonies managed, that we provide as a value for consumers. The fees do not reflect the amount of time and resources that are expended on our regulatory or public safety efforts. However, the low fees do help the apiculture industry remain compliant with state standards.

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

If one calculates the value of all citrus, watermelons, strawberries, blueberries, squash, cucumber, avocado, lychee, longans, and other commercial agricultural crops, and crops produced by home gardeners, it would only reflect the partial value of honey bees, as all of these crops need pollen transferred from one flower to another in order for this pollination and fertilization to produce a marketable crop. These figures can be calculated because of the presence of healthy honey bee colonies that are the result of an active, knowledgeable, and consumer-oriented Apiary Inspection Section.

Apiary inspection is also about detecting established pests and diseases as well as exotic ones. Inspection is an essential tool for early detection and subsequent early response which helps keep impact costs lower.

Surveying, training, and educational outreach efforts through and with the Africanized Honey Bee Working Group and the African Honey Bee Inter-Agency Coordination Group helps alert all segments of the state to the AHB situation and provides appropriate awareness and helps ensure proper planning. Public safety and the value of human life are incalculable.

Raising fees sufficiently to cover these program costs would require so high an assessment from the industry that it would damage its competitive position with similar entities in other states. On average, it costs \$1.65 to produce one pound of honey in Florida. These costs are directly attributed to control of varroa mite and small hive beetle. NASS statistics for 2015 show 11.9 million pounds of honey produced in Florida. This translates to over \$19.6 million in production costs for honey producers and revenue of over \$23.404 million for honey sales in Florida. The same costs would be incurred by commercial beekeepers participating in a fee-based pollination business model.

The importance of managed honey bees to Florida agriculture is simple to substantiate. Honey bees can pollinate efficiently within an approximate 2-3 mile radius of their colony. In the process of collecting pollen, many different types and varieties of plants are pollinated allowing them to produce the fruits, nuts, berries and seeds that feed Florida wildlife such as deer, turkeys, song birds, migratory birds, and even fish. The value of these resources is immense if not priceless.

The presence of healthy honey bees in Florida is essential to the safety and supply of our food as well as the safety of our people and livestock at the state and national level.

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

Honey bees provide benefits that only they can provide in the form of pollination. Without pollination many segments of Florida agriculture would experience an irrecoverable loss in revenue from the decrease in production. Honey bees also provide free pollination in Florida's natural environment, producing the fruits, nuts and berries that feed all segments of Florida wildlife. Managed honey bee colonies minimize the risk of AHB stinging incidents that result in severe incapacitation or death in humans and livestock.

There is no reasonable plan that can substitute for the benefits that a healthy and managed honey bee industry receives through apiary inspection for pests, parasites and diseases.

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

Department: **Agriculture & Consumer Services**

Regulatory Service to or Oversight of Business or Profession Program: **Apiary Inspection**

Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **No, Ch. 581.91, 581.212, F.S.**

What percent of the regulatory cost is currently subsidized? (0 to 100%) **77.1%**

If the program is subsidized from other state funds, what is the source(s)? **GR, FGTF, AEETF, PITF**

What is the current annual amount of the subsidy? **\$559,069**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Honey Bee Colonies	Apiary Registration	Ch 586.045 (3)	100	1995	Yes	\$5-\$100	Plant Industry Trust Fund

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

**Department:** 42 Agriculture and Consumer Services  
**Program:** 42170600 Citrus Budwood Registration  
**Fund:** 2093 Citrus Inspection TF, 2507 Plant Industry TF

**Budget Period:** 2018-19

**Specific Authority:** Ch 581.021.14, F.S.  
**Purpose of Fees Collected:** Specialized pathogen testing on citrus budwood and the distribution and preservation of clean budwood stock.

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

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

**SECTION I - FEE COLLECTION**

	ACTUAL FY 2016-17					ESTIMATED FY 2017-18					REQUEST FY 2018-19				
	GR	CITF	FGTF	AEETF	PITF	GR	CITF	FGTF	AEETF	PITF	GR	CITF	FGTF	AEETF	PITF
Receipts:															
Citrus Budwood Fees					178,245					169,976					169,976
U.S. Grants			75,902					547,790					547,790		
Fuel Tax Allocations				470,005					470,005					#####	
<b>Total Fee Collection to Line (A) - Section I</b>	<b>-</b>	<b>-</b>	<b>75,902</b>	<b>470,005</b>	<b>178,245</b>	<b>-</b>	<b>-</b>	<b>547,790</b>	<b>470,005</b>	<b>169,976</b>	<b>-</b>	<b>-</b>	<b>547,790</b>	<b>#####</b>	<b>169,976</b>

**SECTION II - FULL COSTS**

	ACTUAL FY 2016-17					ESTIMATED FY 2017-18					REQUEST FY 2018-19				
	GR	CITF	FGTF	AEETF	PITF	GR	CITF	FGTF	AEETF	PITF	GR	CITF	FGTF	AEETF	PITF
Direct Costs:															
Salaries and Benefits	10,431	486,520					374,963					374,963			
Expenses	3,849	(485)	11,500		3,615	3,849				3,615	3,849				3,615
Operating Capital Outlay			42,464												
Contracted Services	499		9,713												
Human Resource Assessment	33	8,439				32	8,433				32	8,433			
Citrus Health Response			12,224	452,785				547,790					547,790		
OATS Assessment				1,047	14,610				1,047	14,610				1,047	14,610
<b>Total Full Costs to Line (B) - Section II</b>	<b>14,812</b>	<b>494,474</b>	<b>75,902</b>	<b>453,832</b>	<b>18,225</b>	<b>3,881</b>	<b>383,396</b>	<b>547,790</b>	<b>1,047</b>	<b>18,225</b>	<b>3,881</b>	<b>383,396</b>	<b>547,790</b>	<b>1,047</b>	<b>18,225</b>

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

**SECTION III - SUMMARY**

TOTAL SECTION I (A)	-	-	75,902	470,005	178,245	-	-	547,790	470,005	169,976	-	-	547,790	#####	169,976
TOTAL SECTION II (B)	14,812	494,474	75,902	453,832	18,225	3,881	383,396	547,790	1,047	18,225	3,881	383,396	547,790	1,047	18,225
<b>TOTAL - Surplus/Deficit (C)</b>	<b>(14,812)</b>	<b>(494,474)</b>	<b>-</b>	<b>16,172</b>	<b>160,019</b>	<b>(3,881)</b>	<b>(383,396)</b>	<b>-</b>	<b>468,958</b>	<b>151,751</b>	<b>(3,881)</b>	<b>(383,396)</b>	<b>-</b>	<b>#####</b>	<b>151,751</b>

**EXPLANATION of LINE C:**

Although the fees have historically been sufficient to cover both direct and indirect costs, the recent detrimental effects of citrus greening and citrus canker on the citrus industry has reduced fresh fruit yield significantly. This pervasive problem is affecting the revenue streams of this and other citrus-related fee programs.



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

**Department:** Agriculture and Consumer Services

**Regulatory Service to or Oversight of Businesses or Professions Program:**  
Citrus Budwood Registration

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

Streamlining of real-time polymerase chain reaction (qPCR) testing procedures over the past several years has yielded ongoing savings in both consumables and reagents, and in lab technician handling time. Implementation of robotic pipeting continues to improve lab efficiency, and reduce the risks of error and repetitive motion injury.

Maintaining service contracts for the real-time PCR machines in the laboratory has reduced the unpredictability of repair and maintenance costs, and has provided insurance against equipment failure which would result in serious loss of productivity.

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

We continue to look for ways to streamline operations and increase efficiency. We routinely research new alternatives to expensive consumables, and seek special pricing for bulk purchases, especially for items we use frequently. For example, we have recently switched laboratory glove providers, to a vendor who provides samples to try, a more competitive price, and free shipping. We also discovered a small online seller of the surgical instruments that are used for our delicate shoot-tip grafting process. After some paperwork to get them registered as a state-approved vendor, we were able to purchase several new complete sets of instruments for the expanded Budwood facilities, at less than half of our previous cost. While these vendor-change savings may seem small, they add up to help us conserve state resources.

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

Yes, citrus industry stakeholder groups and industry task forces have expressed that clean budwood is critical to the survival of the industry in dealing with citrus greening and other endemic and exotic graft-transmissible diseases of citrus. The specialized pathogen testing provided by this agency is not available to individual growers through the private sector and distribution and preservation of clean stock has to be centralized and made available to all stakeholders. There is no other agency or program in either the governmental or private realm that provides these services.

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

The citrus budwood regulation fees are established and capped by Chapter 581.031.14 (d), F.S., at \$5. Program fees cover the registration costs of source trees, but not other program fees as the Division is prohibited from charging fees above actual expenses for services rendered.

The majority of the program's budget is funded by a citrus inspection box tax on the Citrus Industry. This fee is collected by the Division of Fruits and Vegetables and transferred to the Division of Plant Industry to cover the major portion of our expenses.

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

Although the fees have historically been sufficient to cover both direct and indirect costs, the recent detrimental effects of citrus greening and citrus canker on the citrus industry has reduced fresh fruit yield significantly. This pervasive problem is affecting the revenue streams of this and other citrus-related fee programs. The Department is investigating the fee structure to determine if raising the fees currently charged is feasible.

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

Since only one type of entity or portion of the citrus industry is regulated by this citrus budwood registration fee, there is no difference between the types of customers or services that we provide and a consistent fee is reasonable and well-received by the customers. The annual source tree registration fees reflect an amount of time and input into indexing practices for plant pathogens that require a set amount of inputs that can be applied to all end users equally as each tree is required to have the same tests; therefore, the cost of services is determined by the customer's number of trees requiring registration. Nurseries with large numbers of source trees paid more than nurseries with a smaller number of source trees. Re-inspection is not an issue as graft-transmissible pathogen positive or negative results determine tree status and the fee covers testing costs that are required regardless if a pathogen is determined to be present or not.

The majority of the budwood program is covered by a citrus industry fruit tax that is assessed on each box of fruit harvested. This tax is assessed fairly because it is applied on each box of citrus that is harvested. The taxes collected are deposited into the Citrus Inspection Trust Fund and then appropriated to the Citrus Budwood Protection Program. The fee is considered fair and equitable as the Citrus Budwood Protection Program benefits all segments of the Florida citrus industry by providing high quality citrus propagation stock to all parties.

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

One hundred percent of the program is funded from trust funds, the majority of which come from the Citrus Inspection Trust Fund (CITF). Funds deposited into the CITF are collected by the Division of Fruits and Vegetables from the Citrus Inspection Box Tax. This fee is assessed on each box of citrus fruit harvested in

the state and a portion is used to cover the cost of the Citrus Budwood Registration Program.

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

If the citrus industry recovers from the devastating impacts of greening, clean budwood will be required to achieve mass replanting of citrus trees. As a result, a reduction of state subsidies is not feasible at this time.

**Schedule IA - Part II: Examination of Regulatory Fees**

Department: **Agriculture & Consumer Services**  
 Regulatory Service to or Oversight of Business or Profession Program: **Citrus Budwood Registration**  
 Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): **No, Ch. 581.191, 581.212, F.S.**  
 What percent of the regulatory cost is currently subsidized? (0 to 100%) **75.9%**  
 If the program is subsidized from other state funds, what is the source(s)? **GR, FGTF, AEETF, PITF**  
 What is the current annual amount of the subsidy? **\$803,099**

Service/Product Regulated	Specific Fee Title	Statutory Authority for Fee	Maximum Fee Authorized (cap)	Year of Last Statutory Revision to Fee	Is Fee Set by Rule? (Yes or No)	Current Fee Assessed	Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund)
Citrus Budwood	Source Tree Registration	581.031.14 (d)	\$5	1998	Yes	\$5	Plant Industry Trust Fund

# SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AGCSS) UPDATE

For Fiscal Year 2018-2019



September 2017

FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

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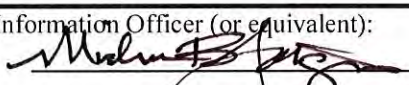
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**I. Schedule IV-B Cover Sheet**

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Agriculture and Consumer Services	Schedule IV-B Submission Date: 9/15/17
Project Name: FDACS Design, Development, and Implementation Activities	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2018-19 LBR Issue Code: 36260C0	FY 2018-19 LBR Issue Title: Enterprise Regulatory Life-Cycle Management System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Michael Johnston, (850)245-7015, Michael.Johnston@FreshFromFlorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: _____	Date: _____
Printed Name:	
Agency Chief Information Officer (or equivalent): 	Date: 9/13/2017
Printed Name: MICHAEL B. JOHNSTON	
Budget Officer: _____	Date: _____
Printed Name:	
Planning Officer: _____	Date: _____
Printed Name:	
Project Sponsor: _____	Date: _____
Printed Name:	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	
Cost Benefit Analysis:	
Risk Analysis:	
Technology Planning:	
Project Planning:	

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

### A. Background and Strategic Needs Assessment

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

#### 1. Business Need

According to the Florida Constitution in Article 4/Section 4(d) and Chapters 20.14/570, F.S., the mission of the Florida Department of Agriculture and Consumer Services (FDACS, the Department) is to safeguard the public and support Florida’s agricultural economy. In order to fulfill its constitutional and statutory obligations, the Department performs regulatory and inspection services relating to agriculture in accordance with 507.07(2), F.S. In addition to these agriculture-related services, the Department also oversees numerous other public safety and consumer-related licensing and regulatory programs in accordance with various other statutory requirements. These directives are carried out by the twelve Divisions and twelve Offices that comprise FDACS.

The Department drafted its Long Range Program Plan (LRPP) in 2014, which outlines the priorities and goals needed to fulfill the Department’s mission of protecting the public and supporting Florida’s agricultural economy. Initiatives include:<sup>1,2</sup>

- Increasing the production and sale of Florida’s agricultural products
- Conducting inspection programs ensuring the safety and availability of wholesome food and other consumer products
- Encouraging the responsible use and management of natural resources
- Ensuring fair and open business practices for consumers
- Providing consistent and easy consumer access to information
- Assisting Florida’s agricultural industry and businesses with the production and promotion of agricultural products
- Preventing proliferation of potential harm to agricultural lands and businesses
- Promoting environmentally safe agricultural practices

Supplementary to the goals listed within the Department’s LRPP, FDACS has also recently identified vital initiatives. These include:

- Protect consumers by more efficiently issuing private security, investigative, recovery, and concealed weapons licenses to eligible individuals and businesses
- Research, design, develop and implement a streamlined renewal process across the Division in terms of their business regulatory and concealed weapon license types
- Further develop and expand paperless capabilities to process revenue and disbursements; integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information
- Improve the timeliness and consistency of Division’s and Department’s response to customer requests or complaints with a unified customer relationship management (CRM) tool
- Enhance the Emergency Response capabilities of the Department in reaction to pest invasions, natural or manmade disasters, or disease outbreaks

FDACS also understands the value of forward insight as to the trends and conditions that it potentially might face, and acknowledges the practices that would best align with those trends. Of the priorities outlined in the LRPP, a few include:<sup>3</sup>

- Automated and paperless application, registration, and licensing requests
- Cost-sharing programs that offer financial incentives to farmers in using Best Management Practices

<sup>1</sup> Appendix A: Business Case, Section 1.1 Department Background.

<sup>2</sup> Appendix A: Business Case, Section 1.1 Department Background.

<sup>3</sup> Appendix A: Business Case, Section 1.1 Department Background.

(BMP) systems

- Preemptive deployment of personnel to mitigate potential risk to the public and agricultural businesses
- Food testing and agricultural commodity tracking systems
- Advanced data management and imaging technology at interdiction stations

A number of these practices are critical to the ongoing success of the Department. There is now an ever-present need for increased efficiencies across all of the Divisions. This remains a high priority for the Department.

In line with these objectives, and in order to realize the overarching Department mission, each individual Division is responsible for administering a number of differing regulatory functions. Due to the fact that FDACS governs a wide variety of diverse industries, not every Division administers similar regulatory processes akin to some of their peer Divisions. In fact, all of the documentation and literature surrounding each Division’s process flow diagrams, functional requirements, system design and architecture, data structure, and operating procedures show that no two Divisions govern the exact same set of regulatory processes. Nevertheless, there are many common, core regulatory functions that the Department performs.

The primary regulatory functions of the Department are application, licensure, compliance, inspection, and enforcement. These regulatory functions and their supplementary key practices and procedures are listed in the Exhibit II-1 below. It is these regulatory processes that FDACS needs to streamline across all of its Divisions and Offices.



**Exhibit II-1: Regulatory Lifecycle**

To ensure these regulatory activities are administered efficiently, the Department realized the need to implement an enterprise regulatory system with a revenue component previously known as the Regulatory Lifecycle Management System (RLMS). With completion of the Procurement Phase, the project has entered into the Design, Develop and Implementation Phase and RLMS was rebranded Agriculture and Consumer Services System (AgCSS). All future references to the Department’s enterprise regulatory system will be as AgCSS. The ultimate goal of the Department in FY 2016-17 was to begin transition to AgCSS to help every Division perform their core regulatory functions more efficiently. Based on North Highland’s research and analysis of all surrounding documentation, system requirements, and internal objectives, it was recommended that FDACS implement AgCSS in three releases. The first release began in July of FY 2017-18, and included the Division of Licensing (DoL) and Division of Administration (DoA.) The DoL and all of its applications and the DoA Revenue Receipt Accounting (REV) system are currently being replaced. In FY 2017-18, the Department will continue AgCSS implementation for Release 1. Release 2 will begin in July FY 2019-20, which will include the early adopter divisions. Release 3 will include any outstanding divisions that have not yet implemented AgCSS.

As AgCSS is being designed and implemented, the Department is gathering baseline data of current Release 1 division business processes. The Department is conducting baseline data in alignment with a larger effort of benefits

realization for AgCSS. Benefits realization will enable the Department to measure the benefits of AgCSS prior to implementation and post implementation and help ensure the Department meets its' business objectives.

**2. FY 2017-18 Business Objectives and Anticipated Benefits**

*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 that are consistent with the Department’s existing policies according to the Florida Constitution in Article 4/Section 4(d) and Chapters 20.14/570, F.S. The overarching business objective of AgCSS is to help the Department better serve Florida citizens through improved process efficiencies.

Business objectives and anticipated benefits are included for Release 1 divisions and early adopter divisions, as Release 1 implementation will be completed next fiscal year and Release 2 is scheduled to begin implementation in the first quarter of FY 2019-20.

**a. Release 1 Business Objectives**

Release 1 included the following divisions of the Department:

- The Division of Licensing (DoL) and all of its applications
- The Division of Administration’s (DoA) Revenue Receipt Accounting (REV) system.

Based upon North Highland’s discussions with DoL and the review of related documentation, the key business objectives for improved processes in DoL include:<sup>4</sup>

- Research, design, develop and implement a streamlined renewal process across the Division in terms of their business regulatory and concealed weapon license types
- Streamline the concealed weapon/firearm license issuance process by enhancing the current “FastTrack” system in the regional offices to determine applicant eligibility at the time of application; when the applicant comes into the regional office, the applicant will be given an error and omission letter for an incomplete application or, if staff determines the application to be complete, upon receipt of non-disqualifying criminal history fingerprint results the system will automatically issue the license and submit it for print
- Research, acquire, design, develop and implement a next generation document management system to replace the current ORACLE IPM system

Based upon North Highland’s discussions with the DoA and the review of related documentation, the key business objectives for improved internal capabilities include:<sup>5</sup>

- Further develop and expand paperless capabilities to process revenue and disbursements. Integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information

One of the Department’s primary goals for Release 1 included beginning implementation of a unified Service Desk reducing the multiple points of contact with the Department. Decreasing the number of internal administrative and regulatory processes through a customer relationship management (CRM) tool is still a major objective of many Divisions and the Department. The total numbers of Department customer interactions are increasing by an average of 9% a year<sup>6</sup>, significantly adding to the costs of the Divisions and Department in having to set up and operate call centers for these interactions. Exhibit II-2 below displays the growth of Department interactions from 2009 to 2014.

<sup>4</sup> Appendix A: Business Case, Section 1.3 Business Objectives.

<sup>5</sup> Appendix A: Business Case, Section 1.3 Business Objectives.

<sup>6</sup> Appendix A: Business Case, Section 1.3 Business Objectives.

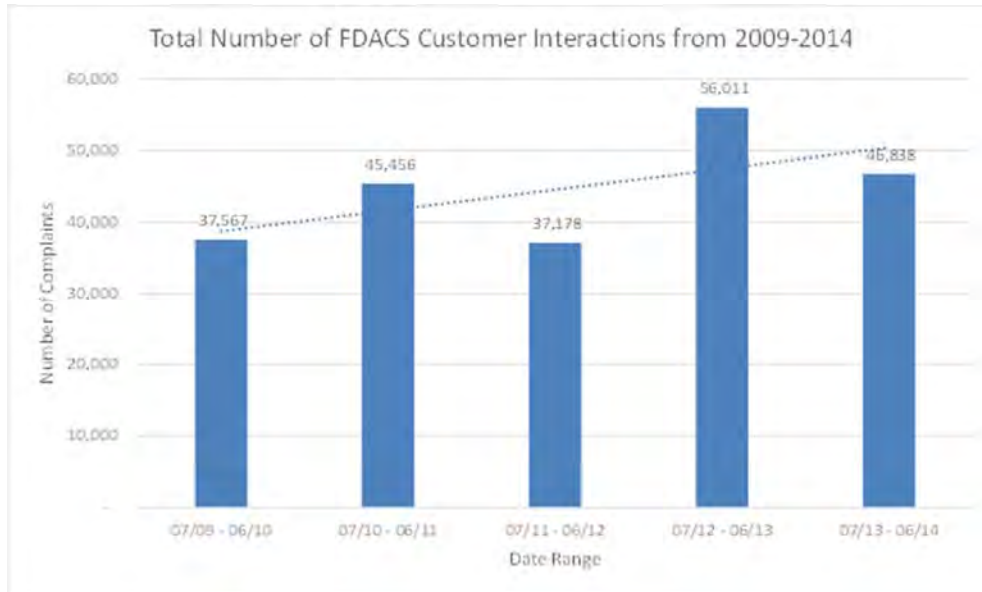


Exhibit II-2: Total Number of FDACS Customer Interactions from 2009 to 2014

An enterprise CRM and Service Desk that unifies the help desks and call centers of the Department will help to reduce the multiple points of contact within the Department, as well as provide personalized services that improve customer service and satisfaction. The CRM tool will decrease the number of interactions and increase internal productivity by streamlining management and workflow processes through consolidated Division, Department, and customer information. Whether through call centers, interactive voice response (IVR), self-service kiosks, proactive email and texting, chat, mobile applications, faxes, internet, or in-person scheduling, integrating CRM with the new regulatory system will allow the Department to provide customers with a more personalized and proactive service, regardless of the channel. The overall benefits of the CRM will be lowered customer service costs and elevated customer experience with the Department.

Instituting more open communication channels between the Divisions and Offices not only reduces redundant data collection, but also bolsters monitoring, compliance, inspections, and customer service across the Department via more efficient process management that is critical to effectively respond to potential emergencies or issues that affect the well-being of the public and the State’s agricultural industry. Moreover, these improved analytical abilities will lead to efficient resource allotment and operational efficiencies within the Divisions and across the Department, as well as reduced support costs.

The Department will see improvements at the business process level with the restructuring of duplicative processes and streamlined capability to get all associated data with an entity. Movement towards higher data integrity and standardization will allow for improved operational efficiency, reporting, and monitoring. Stemming from this capability, key analytical metrics will facilitate better proactive decision support for the Department. A regulatory system implementation will greatly improve efficiency by consolidating a number of core business processes which are currently on disparate platforms, thus reducing the hardship of IT infrastructure maintenance for the Department. In alignment with the Department’s strategic objectives, the deployment of AgCSS will empower its customers and position the Department to be responsive to changing operational demands.

Another critical area in which the Department will benefit from AgCSS is when FDACS is responsible for leading and/or managing an Emergency Response. As the first point of contact when natural or manmade disasters occur, FDACS must deliver a timely and well-organized strategy for all impacted Divisions to execute. Whether it is the exchange of critical information, geospatial mapping of the mission-critical areas, resource planning and staffing, or cost tracking, the Department not only needs quick and reliable access to all of these capabilities, it must also be able to effectively communicate the appropriate execution plans. Currently, Emergency Response is a disjointed and retroactive process, as the Department has to develop a new system for every single emergency, which usually encompasses inefficient methods of communication, mapping, and staffing, often performed via phone calls or emails. This manual process requires significant labor, time, and effort, thus reducing the overall process efficiency of the Department’s Emergency Response capability.

Further substantiating this point, the Department is the primary support agency for Emergency Support Functions (ESF) 17 and 11, “Food and Water,” and “Animal and Agricultural” issues, respectively. As such, the Department is responsible for coordinating the training, staffing, scheduling, and identification of resources, cost records, financial reimbursement, and synchronization of joint activities with state and federal agencies. During emergencies, the Department must be at its most efficient in order to protect consumers and the agricultural industry. The Department and the public will tremendously benefit from AgCSS’ enterprise capabilities that include case management, workflow management, workforce management, enhanced GIS, and mobile inspections to support Emergency Response.

The U.S. Department of Agriculture estimates that foreign pest invasions cost U.S. taxpayers \$120 billion dollars a year.<sup>7</sup> Foreign pest invasions can result in the reduction of crop value, high eradication expenses, emergency payments to farmers, and higher food and other natural resource costs to consumers.<sup>8</sup> Florida identified 120 new plant pests in the state since 2006, with 26 new plant pest species identified from 2010 to 2011 alone.<sup>9</sup> In November of 2014, the State had to develop a new response plan for the Conehead termite outbreak. The Department has placed a high priority on containing and eradicating species such as the Conehead termite, the Giant African Land Snail (GALS), Asian citrus psyllid, Asian citrus canker, *Candidatus Liberibacter* bacteria, which causes Citrus Greening, and the Mediterranean fruit fly. The State successfully eradicated two separate cases of the Mediterranean fruit fly in 2010 and 2011, but at a combined cost of over \$3.5 million dollars.<sup>10</sup> In other attempts to eradicate citrus pests, the State of Florida spent approximately \$700 million for the Citrus Canker Eradication Program (1995-2006), and an additional \$58 million for the Citrus Health Response Programs (2007-2011).<sup>11</sup> As recent as 2015, the State declared another emergency related to an infestation of an Oriental Fruit Fly in Miami-Dade County, and has begun developing a new system to deal with these pests.

The Zika virus has continued to be a concern despite significant attempts to eradicate the pest; and most recently in 2017, a recurrent infestation of screwworm has manifested in South Florida animal population. The Department allocated millions of dollars into eradicating this pest in 1982, due to the highly alarming side effects of the pest to wildlife. It has been declared an agricultural emergency by Commissioner Putnam. AgCSS will enhance and accelerate the Department’s Emergency Response system, as well as reduce overall Emergency Response costs not only for FDACS, but also for the State. Once the new system is successfully designed, implemented, and running for DoL and DoA, the Department will proceed with implementing the remaining divisions over two releases.

For the complete details of FDACS’ business objectives, refer to Appendix A: Business Case: Chapter 2, Section 1.3 Business Objectives.

#### *b. Early Adopter Divisions’ Business Objectives*

Release 2 implementation will begin in the first quarter of FY 2019-20 for the “early adopter” divisions, which will be identified during Release 1. Business objectives for the Release 2 divisions will be identified and documented once the Release 2 divisions/entities are confirmed. While the Release 2 divisions have not yet been confirmed, it is expected that they will realize similar benefits as the Release 1 divisions given that the solution is an enterprise-wide system that will promote standardization and uniformity across business units.

The Department anticipates multiple benefits from AgCSS that will be valuable to each of the Department’s

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<sup>7</sup> Florida Department of Agriculture and Consumer Services. PowerPoint from email, “SPB NAFTA Challenges Florida 2008 WNDixon.” Page 31. Accessed October 9, 2014.

<sup>8</sup> Society of American Florists: Pest and Production Management Proceedings. “A World Without Boundaries: And None for the Pests as Well.” Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 10.

<sup>9</sup> Society of American Florists: Pest and Production Management Proceedings. “A World Without Boundaries: And None for the Pests as Well.” Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 2.

<sup>10</sup> Society of American Florists: Pest and Production Management Proceedings. “A World Without Boundaries: And None for the Pests as Well.” Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.

<sup>11</sup> Society of American Florists: Pest and Production Management Proceedings. “A World Without Boundaries: And None for the Pests as Well.” Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.

divisions given that they affect all Department operations. The current set of identified benefits consists of 25 benefits related to the following benefits categories:

- Improved Customer Experience / Service
- Improved Data Quality and Access / Reduced Data Duplication
- IT / Administrative Efficiencies
- Operational Efficiencies
- Operational Responsiveness
- Organizational Effectiveness

The following exhibit provides an overview of the benefits by release and portrays the six benefits categories.

## SUMMARY ACROSS THE ENTERPRISE

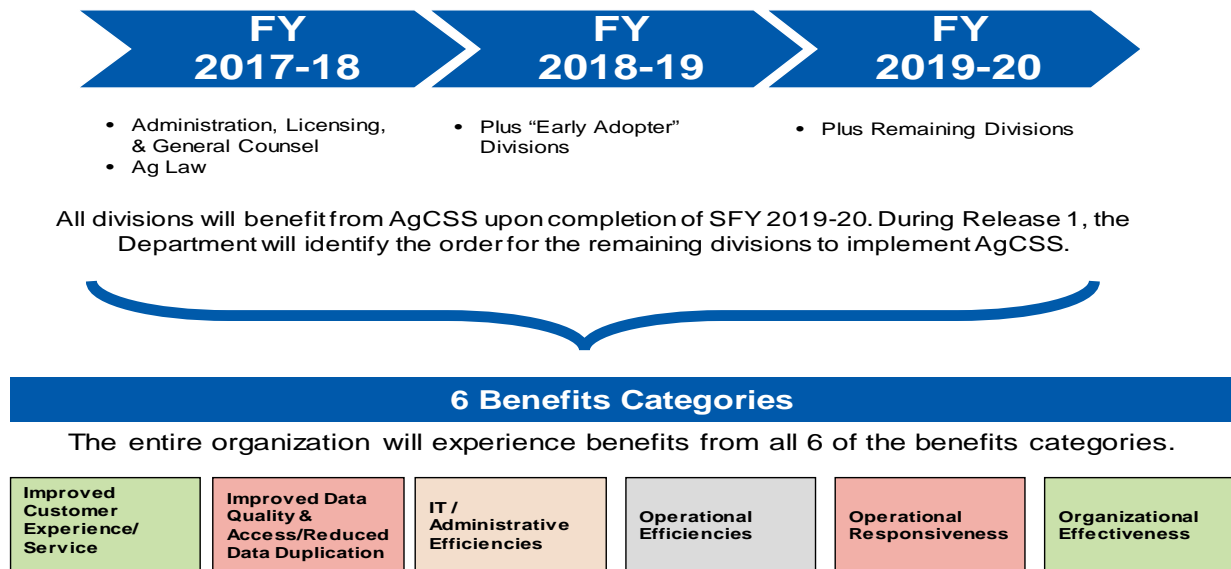


Exhibit II-3: Benefits Summary Across the Three Releases

In addition to the stated objectives for the Release 1 divisions and in moving forward with AgCSS, it is important to also note the goals of the Department. Based upon North Highland’s discussions with FDACS’ Divisions, Offices, and IT Governance team, the Department documented Department’s goals during a Department-wide Strategic Articulation Session with key executive staff. The goals are described below.<sup>12</sup>

- Enhance the customer experience in all interactions with or within the Department
- Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques
- Enable an enterprise customer service operation
- Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues

Shifting from a divisional model to an enterprise model, the key components that will help achieve the desired Department goals<sup>13</sup> are:

- A fully optimized technological infrastructure
- A single sign-on identity management system
- A master data management system
- A document management system

<sup>12</sup> Appendix A: Business Case, Section 1.3 Business Objectives.

<sup>13</sup> Appendix A: Business Case, Section 1.3 Business Objectives.

- A customer relationship management (CRM) system
- An Emergency Response system
- Mapping and data storage capabilities on a geographical information system
- A unified Service Desk combining help desk and call center as a single point of contact for internal application users and the public<sup>14</sup>

As the Department shifts to an enterprise regulatory system, baseline analysis is being conducted before each division is affected by AgCSS, so that the Department can analyze progress and opportunities for improvement post implementation.

The following section describes current baseline analysis occurring for Release 1 agencies and anticipated baseline analysis for Release 2.

## 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.*

As previously mentioned, the Department is conducting baseline analysis to assess efficiencies due to AgCSS as part of the larger Benefits Realization Plan. The Benefits Realization Plan is a tool to help support realization of the considerable benefits that can accrue to the Department as a result of modernizing its regulatory capabilities via AgCSS. Benefits Realization is a process consisting of identification, definition, tracking, measuring, and optimization of the expected benefits from an investment in a new process or technology. The Benefits Realization Plan being leveraged by the Department provides an overview of the benefits associated with AgCSS. Benefit Realization activities will be performed in concert with Organizational Change Management activities to support the achievement of desired benefits. Analyzing the current state accurately involves establishing baseline values for the various benefit measures. The following methodologies have been identified for gathering baseline data:

- Pre-Post Comparison of Key Operating Metrics
- Time Studies
- Customer Experience Surveys

The following section describes the baseline analysis of business processes for Release 1 divisions.

### 1. Release 1 Business Process(es) FY 2016-17 Progress

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

The gathering of baseline data, using the methodologies listed above, is accomplished jointly by divisional staff and AgCSS project staff. Multiple working sessions have been and will be held with divisional staff to develop a working understanding of how to most efficiently gather baseline data.

#### a. Division of Licensing

The Division of Licensing administers two distinct licensing programs. Pursuant to Chapter 493, F.S., the Division licenses and regulates individuals and agencies in the private investigation, recovery, and security industries. In addition to its business regulatory program, the Division also issues licenses to qualified individuals who wish to carry concealed weapons or firearms for lawful self-defense. This latter program is conducted in accordance with the provisions of section 790.06, F.S. The Division's obligations in overseeing these two programs are in no way menial. With 1,960,396 valid license holders on its records as of June 30, 2017, the Division of Licensing manages more licensees than any other Division within the Department. The concealed weapon licensing program is by far the larger of the two programs, accounting for 1,784,395 of the currently valid license holders. The number of concealed weapon license holders has increased by over 300% in the past 10 years (up from 438,864 as of July 1,

<sup>14</sup> Appendix A: Business Case, Section 1.3 Business Objectives.



2007). The licensee population of individuals and agencies in the regulated industries (176,001 as of July 1, 2017) as well as the demand for licenses in the business regulatory program remains relatively constant with only minor fluctuation. In total, the Division processed over 500,000 new and renewal applications in its two licensing programs in FY 2016-17.<sup>1516</sup>

In addition to a final license issuance determination, the DoL has a number of supplementary responsibilities:

- Review applications for statutory compliance
- Review criminal history records provided by the FDLE, the FBI, and other law enforcement agencies to assure applicants & licensees meet statutory eligibility standards
- Issue licenses to qualified persons
- Deny licensure to unqualified persons
- Conduct proactive enforcement activities
- Conduct scheduled compliance inspections
- Conduct complaint investigations
- Issue letters of denial, notices of suspension, and administrative interactions
- Conduct informal hearings
- Issue final orders and handle all appeals

Additional processes other than licensing 26 different license types includes a number of manual and paper-based entries, multiple fact and background verifications, payment processing and reconciliations, and a final license issuance that all require significant time, workforce effort, and costs. The licensing process timeframe must take no longer than 90 days in accordance with State statutes, and the DoL already operates at a very high level of efficiency with respect to that 90-day time limit. The Division's actual performance numbers shows that the DoL issued 97%, 98.7%, and 98.3% of all licenses within the statutorily mandated timeframe in FY 2014-15, FY 2015-16, and FY 2016-17 respectively. Even with this already high level of performance, the Division anticipates additional increase in process efficiencies with the implementation of a new enterprise regulatory application with a revenue management component.

The DoL currently has eight regional offices located throughout state, with a ninth office scheduled to open in FY2017-18. These eight offices, which operate under the authority of the Division's Bureau of License Issuance, offer full-service, one-stop convenience to any individual or agency seeking to apply for a new license or to renew an existing license. Personnel in these offices also administer examinations for the various business regulatory licenses issued under the authority of Chapter 493, F.S., that require qualifying examinations as a prerequisite for licensure. These offices also serve as the base of operations for some of the investigators employed by the Department's Division of Agricultural Law Enforcement (Ag Law). These investigators conduct proactive enforcement site visits, schedule compliance inspections, and conduct complaints investigations in support of the DoL's regulatory authority over individuals and agencies in the private investigation, recovery, and security industries.

One of the critical concerns of the Division of Licensing prior to AgCSS was the ongoing high demand for concealed weapon licenses that the Division experienced in recent years. During the 10-year period from FY 2007-08 through 2016-17, the Division received more new concealed weapon license applications than during the prior 20 years dating back to 1987, the year that the Florida concealed licensing program began. As already mentioned, the number of concealed weapon license holders soared from 438,864 to 1,784,395 during that 10-year period, a staggering increase of over 300. While it is difficult to attribute a specific cause for the ongoing high demand for concealed weapon licenses, there does appear to be some correlation between presidential election years and sharp upturns in the number of new applications received by the Division. In FY 2009-10, for example, a sharp rise in the number of incoming applications occurred in the months leading up to and following the presidential election, causing the total number of new applications received in that year to spike to 51,175, a 44% increase over the previous fiscal year. Similarly, in FY 2012-13, in the next presidential election cycle, the Division received 204,288 new concealed weapon license applications, which was an increase of 52,405 applications (35%) over the previous fiscal year and at the time was the largest number of new applications ever received in a single fiscal year. In last year's presidential election cycle, that record was eclipsed when the Division received 244,726 new applications in

<sup>15</sup> Division of Licensing statistical webpage at <http://www.freshfromflorida.com/Divisions-Offices/Licensing/Statistical-Reports>.

<sup>16</sup> Appendix A: Business Case, Section 1.2.3 Division of Licensing.

FY 2015-2016, resulting in an astonishing 82% increase over the number of applications received in FY 2014-15. This demand carried over into FY 2016-17, a year in which the Division received 256,232 new applications, the new all-time benchmark for applications received in a single fiscal year.

In addition to national elections and presidential politics, there have been a number of mass shootings over the past decade, horrific events that have occurred with disturbing frequency. Again, while one cannot say with certainty that there is a direct cause-and-effect relationship between these events and the demand for concealed weapon licenses, there can be little doubt that such events and the media coverage they receive continue to keep the specter of the threat of imminent gun violence in the minds of citizens. AgCSS will equip the Division to handle this ongoing demand in a much more efficient manner.

It is important to emphasize the role that is currently being played by Florida tax collectors throughout the state in meeting the ongoing high demand for Florida concealed weapon licenses. During the 2014 legislative session, the Legislature passed a bill that authorized the department to collaborate with constitutionally elected tax collectors throughout the state to allow those tax collectors' offices to process concealed weapon license applications on behalf of the department. In the fall of 2014, five tax collectors began processing applications using the Concealed Weapon Intake System (CWIS). The number of participating offices has grown considerably: as of June 2017, there were 44 tax collectors offering application processing services in 50 office locations throughout the state. The program is proving to be popular and successful: during FY 2016-17, over 30% of all new applications submitted to the Division were submitted in tax collectors' offices. The Department plans to put the CWIS hardware and software in 9 new tax collectors' offices in this fiscal year.

Clearly, the DoL has a pressing need for implementing a new regulatory system for all of its applications: the Division's ORACLE-based system has reached the end of its life, and as of end of calendar year 2015, the Oracle Application support coverage has expired, which left the Division exposed to potential threats and without a means of receiving system maintenance and updates. AgCSS will not only provide the Division with the security, updates, and most modern licensing technology, but it will also replace the various legacy systems used by the Division, making it possible to house all of the various licensing applications in one system. Once AgCSS implementation is complete, this will be a key benefit. Running all applications on a single system will reduce staff workload and boost employee productivity.

DoL stands to gain numerous benefits from enhancing their online service offerings for their business regulatory and concealed weapon license applicants. For example, AgCSS will allow the Division to offer licensing services that will significantly enhance the level of convenience to its customers. For example, first-time and renewal applicants will be able to submit applications and fee payments via the online service portal. Ease of application submission will ostensibly increase interest in initial licensure and will bolster license renewal rates. The Division will be able to reduce the internal costs associated with the traditional delivery of licensing services (printing, scanning, paper-processing and mailing costs, for example). These cost reductions will then potentially be passed along to customers through future fee reductions enacted by the Legislature with little effect on the amount of revenue the Division generates (\$26.2 million, \$27.9 million, \$45.6 million, and \$46.1 million over the last four fiscal years, respectively), thus allowing the DoL to continue to underwrite its operations from its Trust Fund.<sup>17</sup> Payment/fee collection is one area related to customer experience that will benefit from an improved revenue management system. Currently, the Division's regional offices do not have credit card swiping capabilities. Applicants must go to the regional office counter and sit down with an agent to manually enter and submit their credit card information. Given the desire for agents to not enter confidential customer payment information for security purposes, and to facilitate a one-stop-shop user experience, this is a licensing process that will be streamlined through the credit card payment feature of AgCSS.

The customer-facing applications of a new system will allow potential licensees to upload, store, complete, and submit all of their applications, thus saving time, paper, and processing costs, while also enhancing their customer experiences. Specifically, in terms of a license renewal, if the required standards are met based off of previously uploaded and retained customer information, then a renewal will be issued automatically, and no additional processes will be needed. While the Division has done well to reduce their license processing timeframes, AgCSS will help to further reduce these licensing timeframes from what is currently a matter of weeks or even months to potentially just a few days.

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<sup>17</sup> Appendix A: Business Case, Section 1.2.3.1 Division of Licensing Benefits from a New Enterprise Regulatory System.

- Relatedly, external users of AgCSS stand to gain benefits in terms of customer experience and satisfaction. A common user complaint about the Division’s site was that it does not allow customers to track the status or timeline of their application. In addition to quicker license processing times and determinations, AgCSS will allow customers to better track and know the status of their applications as it makes it way to final determination. Customer interactions and complaints will also be better addressed and responded to quicker with the implementation of a unified Service Desk through AgCSS’ customer relationship management (CRM) tool. The overall customer experience will be further enhanced with the aforementioned one-stop-shop functionalities that include credit card processing and online payments for multiple licenses, document upload capabilities, user-profile retention, and the CRM tool.

The DoL currently uses its own fiscal system to perform its revenue collection functions. This system is isolated, antiquated, and not user-friendly. Since it operates on its own application, DoL must send daily validation, check deposits, and settlement faxes to the DoA’s REV system. Due to the nature of having two, independent systems, there is a constant update/reconciliation and reporting process that occurs between DoL and REV, which demands time and resources. Efficiencies can be gained with the reduction in reconciliation documentation and transfer process with a new, integrated revenue management component of AgCSS.

The implemented revenue management component would be scalable so that the DoA could then roll on to the application in using its revenue management component as their main revenue collection and reconciliation system. Eventually, all other Divisions within FDACS will assimilate with AgCSS, becoming a true enterprise organization.

***b. Division of Administration***

In accordance with 570, F.S., DoA is primarily responsible for the revenue collection and processing, disbursement, and human resources for FDACS. The Division also handles all account and administrative actions and complaints, which require regulatory processing and are stored in the Agency Clerk application. DoA currently uses the Revenue Receipts Accounting System (REV) System as their primary revenue collection system, and all funds received are tracked within REV. The Revenue Online Collection (ROC) System enables the public to make online payments and upload multiple documents at a time. DoA also uses an e-Commerce Reporting System (EGC) that assists with reconciliation and billing. These various systems operate on separate platforms, and as a result, there are a multitude of manual payments and manual revenue validation processes that must occur.

As such, DoA stands to gain ample benefits and efficiencies from the implementation of AgCSS. The realization of these benefits will realistically take some time. DoA will not immediately integrate all of its processes with AgCSS, and the rest of the Divisions will have to remain on their current systems until the appropriate time, as well. However, DoA is eager to integrate with AgCSS given the enterprise direction of the Department. The other Divisions who will eventually roll onto AgCSS will prosper from the system’s multiple payment points, disbursement, revenue collection, and reconciliation capabilities.

With the impending implementation of the new Florida Planning, Accounting, and Ledger Management (PALM) system in the next several years, it will be easier for DoA to streamline with the revenue component given its integration with FLAIR (current financial management system). DoA will benefit from the automated dual reconciliation capability within the revenue management component of AgCSS, as there will be a drastic decrease in the transfer of information and documentation between the revenue module and FLAIR given the real-time batching between the additional interfaces. The automated reconciliation and batching processes will become free from data duplication, thus saving the Division and FDACS valuable workforce effort and costs, and furthering the efficiencies gained from AgCSS.

The document management and handling functionalities of AgCSS will help improve DoA processing times and efficiencies in the check handling process. This will not only reduce manual nature of this process, but it will also promote higher internal controls and reduce the opportunity for internal fraud.

Another key system feature that will allow for an improved process efficiency will be near real-time deposit summaries. The current Division deposit summary process involves a “mail-in and wait” approach, where remote paper summaries are manually sent in and then take valuable time for a response receipt to be issued. With a new deposit summary feature, these summaries will be instantly deposited and verified by DoA, and will help to reduce correspondence time and costs.

AgCSS will include single sign-on/authentication whereby allowing important customer profile information to be stored and available for reuse in all other applications. Eliminating multiple sign-on points for an individual user

will provide higher customer satisfaction and user experiences. Similarly, given that AgCSS will retain pertinent, stored customer profile and payment data, this will create future business process reductions through quicker processing and renewal timeframes. Lastly, AgCSS will be able to assimilate and automate outside Automated Clearinghouse (ACH) payments and Division chargebacks.

*c. FDACS*

The Department is responsible for a broad range of services and regulatory activities across its twelve Divisions and twelve Offices. Included in these are systems that support administrative regulatory requirements for revenue, invoices, and fees; environmental services regulatory requirements related to feed, seed, fertilizer, and pest control licensing, use and compliance; and consumer services regulatory requirements for licensing in more than a dozen different industries. The current system environment includes:

- 68 systems (80% custom, 20% COTS (Commercial-Off-The-Shelf software) with varying customization)

As outlined in the Appendix B: Master Regulatory Systems and Programs Document (Appendix B), of the various regulatory functions conducted within the FDACS, the licensing function alone requires the Department to manage the lifecycle of approximately 30 different licensing activities. In reviewing the license types within the Department, there is wide variability and complexity within each license type, which then requires its own specific configuration, set of requirements, and software renewal dates for the applications and tools supporting the business. This lack of uniformity also exists among the other regulatory functions within the Department.

As with the DoL, other Divisions within the Department have inadequate systems in place that pose inherent risks to the Department, as they could potentially be exposed to threats from a lack of maintenance and support coverage. Given the variability and complexity of each Division's systems, the costs associated with maintaining the status quo in terms of the upkeep and maintenance of each Division's independent systems may be greater in sum than housing all of the applications on a new regulatory system.

Further information regarding the Divisional break-down of the total number of regulatory functions and regulatory systems managed can be found in Appendix A: Business Case: Chapter 2, Section 2.1 Current Business Processes. The entire Department's regulatory systems portfolio can be found in the Appendix B: Master Regulatory Systems and Programs Document (Appendix B).

*d. Challenges*

FDACS' regulatory applications currently in place utilize differing technologies, design methodologies, and interfaces. Stemming from a previous lack of IT governance, there are multiple databases that are unique to specific Divisions, and operate without centralized, enterprise oversight within the Department. A number of these systems were created for specific Division programs over a decade ago with differing support requirements and end-of-life time frames with no strategy to facilitate uniform data across the Department. All of these siloed database environments house duplicated and redundant data across the Divisions, creating a challenging environment to effectively communicate consistent regulatory information among Divisions.

Overlying these current systems issues, the Department has also identified three key strategic challenges. First, the proliferation of redundant Division and Office processes and supporting systems exposes the Department to operational risk, which then increases the Department's administrative and support costs, while decreasing its operational efficiency and effectiveness. Second, the existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders as a result of outdated and unsupported software and technology. Last, from an external perspective, weather forecasts, commodity market reports, disease outbreaks, and international political conflicts require the Department to make constant operational course corrections.

From an implementation perspective, a project of this nature and scope will have planning, design, and execution risks. In order to mitigate these risks, quality assurance procedures, including in-progress checkpoints and deliverable reviews, will be woven into the day-to-day operations of the Project's project management activities to help ensure the project adheres to the implementation schedule. Ongoing issue management and risk assessment protocols will be upheld during project status reviews in order to mitigate potential setbacks. Effective upward communication from the FDACS PPMO to key stakeholders and Governance entities is key to providing up-to-date project status reports, offering accurate and best judgment risk and issue assessments, and actively managing expectations. Similarly, effective downward communication to the Project team is essential to building a teamwork culture and communicating expectations which will shape the success of the Project.

Having FDACS Executive, Steering Committee, and Governance support, a dedicated project team, and built-in checkpoints will help guide the Department towards success in implementing a new regulatory system and delivering value to the Department. Now that the systems integrator (SI) vendor has been selected for AgCSS implementation, baseline data collected is in the process of being reviewed with the SI to assess the extent to which the SI’s unique solution supports capture of the same data as is contained in the baseline. The SI will update the BRP as necessary for the AgCSS implementation. This is due to aspects of the selected vendor’s unique solution that need to be taken into account by the BRP. For example, data collection approaches may require adjustment given how the new system stores and maintains key data. Therefore, benefits realization activities will be closely coordinated with the selected SI vendor in order to ensure concordance between the selected system and the BRP. The Department will also adjust the BRP as necessary for currently unknown future events that may affect the Department.

**Anticipated FY 2017-18 Benefits and Altered Business Processes**

As previously stated, business objectives for the remaining divisions have not yet been documented. But the Department has identified 26 benefits spanning six benefits categories that provide significant opportunities for improvement in each of the three Releases. This section describes the six Benefits Categories that will assist the early adoption divisions and gives a high-level overview of the business processes that will likely be altered in the remaining divisions.

For exemplary purposes, Exhibit II-4 portrays one of the anticipated benefits related to Release 2 and Release 3, regarding processing efficiency and reduced duplicative data. Exhibit II-4 depicts how post-implementation, AgCSS will allow for data “re-use” across divisions. In this example, a Department consumer with an existing license from the Department is seeking a second license type from another Division. The licensing process is directly impacted in that much of the required information for this second license type application is already in the system as a result of the first license application. Enabling data sharing across divisions through AgCSS will decrease the amount of time and effort expended by the consumer and by the Department in applying for and processing subsequent/additional license applications, therefore expediting the licensure process.



**Exhibit II-4: Anticipated Benefit Example for Remaining Divisions**

The following subsections detail the six Benefits Categories for all three Releases.

***a. Improved Customer Experience and Service***

Multi-channel access to information, increased transparency, streamlined regulatory process, reduced touch points, and decreased response time will improve customer experience for those in the public that interact with the Department. A single online payment portal, a component of AgCSS, will enable department staff to complete their duties more efficiently, improving employee morale. Additional benefits related to customer experience include improved tracking abilities through increased standardization, better customer satisfaction due to improved response time and cross-program information sharing, and decreased customer frustration through more efficient payment processing. The Department, legislature, regulated businesses and industries, and the public will benefit from this Benefits Category.

***b. Improved Data Quality and Access, and Reduced Data Duplication***

The Department anticipates improved program accountability through real-time access to data, increased visibility, and eliminated redundant data collection. Increased public transparency and accountability are also anticipated due to easily accessible data, master data management, standardized processes, standardized data structures, and reduction of redundant data requests across programs. The Department, legislature, regulated businesses and industries, and the public will benefit from this Benefits Category.

***c. IT and Administrative Efficiencies***

The Department anticipates more efficient administrative processing through improved processes, reduced complexity of the Department’s regulatory system portfolio, simplified and reduced procurement efforts, reduced and less complex interface development, and improved system performance levels. The Department also anticipates more efficient processing via AgCSS, a decrease in maintenance required for maintaining and modifying numerous regulatory systems, less complex applications and system software, more readily available contractor skill sets, reduced development and complexity of interfaces, and improved performance levels for Administration’s Revenue Receipt Accounting (REV) system. The Department, legislature, regulated businesses and industries, and the public will benefit from this Benefits Category.

***d. Operational Efficiencies***

The Department anticipates better customer experience due to improved cross-program processes, coordinated inspection scheduling, constant staff levels, and increased percentage of licenses issued within statutory timeframes. The Department also anticipates increased response time due to cross program integrated data and real-time recorded data during mobile inspections, increased transparency for inspection scheduling, increased processing efficiency through standardization and achieving economies of scale, increased data accuracy, and cross-program data sharing. The Department, legislature, regulated businesses and industries, and the public will benefit from this Benefits Category.

***e. Operational Responsiveness***

The Department anticipates improved emergency response capabilities, improved proactive behavior through improved predictive capabilities and master data management, and quicker response time via “configure and implement” capabilities. The Department also anticipates improved communication, data sharing, and speed in configuring systems during emergencies, increased emergency response metrics available for publication, improved response time through analytics and master data management for situations of concern, and improved development processes through reduction in manual system updates and increase in “configure and implement” processes. The Department, legislature, regulated businesses and industries, and the public will benefit from this Benefits Category.

***f. Organizational Effectiveness***

The Department anticipates improved cross-program area and regulatory responses due to improved communication, cooperation, and collaboration between FDACS program areas and divisions, increased regulatory management visibility, increased Department executive management program visibility through dashboards, enhanced FDACS and Departmental IT alignment resulting in improved business operations, and improved inspections through more easily accessible regulatory data. The Department also anticipates transparent inspection data across all FDACS program areas and the public, cross-divisional collaboration improving Best Management Practices adherence and easing audit efforts, better decision-making through accessible and accurate information, quickly internalized vision

and mission of FDACS through executive leadership communication, and more targeted inspections due to inspectors' increased access to reliable data. The Department, regulated businesses and industries, and the public will benefit from this Benefits Category.

## 2. Assumptions and Challenges

The current regulatory applications within FDACS' portfolio are Division and function-specific, have not had recent or significant upgrades in modernizing its core systems, and are approaching or have passed their end-of-life support timeframes. This state of FDACS' systems portfolio inhibits the Department from performing its current and future-state business needs.

For consideration in moving forward with AgCSS, several assumptions and constraints were documented during discussions with the Divisions and Offices from Release 1. One assumption is that existing regulatory systems will need to be re-engineered or re-written in the very near future due to their end-of-life situation. The specific analysis for assumptions and constraints are detailed in Appendix A: Business Case.

FDACS' regulatory applications currently in place utilize differing technologies, design methodologies, and interfaces. Stemming from a previous lack of IT governance, there are multiple databases that are unique to specific Divisions, and operate without centralized, enterprise oversight within the Department. A number of these systems were created for specific Division programs over a decade ago with differing support requirements and end-of-life time frames with no strategy to facilitate uniform data across the Department. All of these silo database environments house duplicated and redundant data across the Divisions, creating a challenging environment to effectively communicate consistent regulatory information among Divisions.

Overlying these current systems issues, the Department has also identified three key strategic challenges. First, the proliferation of redundant Division and Office processes and supporting systems exposes the Department to operational risk, which then increases the Department's administrative and support costs, while decreasing its operational efficiency and effectiveness. Second, the existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders as a result of outdated and unsupported software and technology. Last, from an external perspective, weather forecasts, commodity market reports, disease outbreaks, and international political conflicts require the Department to make constant operational course corrections.

From an implementation perspective, a project of this nature and scope has planning, design, and execution risks. In order to mitigate these risks, quality assurance procedures, including in-progress checkpoints and deliverable reviews, have been woven into the day-to-day operations of the Project's project management activities to help ensure the project adheres to the implementation schedule. Ongoing issue management and risk assessment protocols are being upheld during project status reviews in order to mitigate potential setbacks. Effective upward communication from the FDACS PPMO to key stakeholders and Governance entities has been key to providing up-to-date project status reports, offering accurate and best judgment risk and issue assessments, and actively managing expectations. Similarly, effective downward communication to the Project team has been essential to building a teamwork culture and communicating expectations that are shaping the success of the Project.

Having FDACS Executive, Steering Committee, and Governance support, a dedicated project team, systems integrator (SI) vendor, and built-in checkpoints is helping guide the Department towards success in implementing AgCSS and delivering value to the Department.

Since the SI vendor GCOM has been selected for AgCSS implementation, baseline data collected will be reviewed with GCOM to assess the extent to which GCOM's AgCSS solution supports capture of the same data as is contained in the baseline. The Department is prepared to adjust the Benefits Realization Plan as necessary according to GCOM's materials. This is due to aspects of GCOM's AgCSS solution that need to be taken into account by the Benefits Realization Plan. For example, data collection approaches may require adjustment given how the new system stores and maintains key data. Therefore, Benefits Realization activities will be closely coordinated with GCOM in order to ensure concordance between the selected system and GCOM. The Department will also adjust the Benefits Realization Plan as necessary for currently unknown future events that may affect the Department.

## C. Agreed-Upon Business Solution

*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.*

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

The selected vendor, GCOM, is building the AgCSS on Commercially Available off the Shelf (COTS) Software Technology Packages. The following exhibit illustrates key COTS software infrastructure packages that provide proven business, technical and data services for AgCSS.

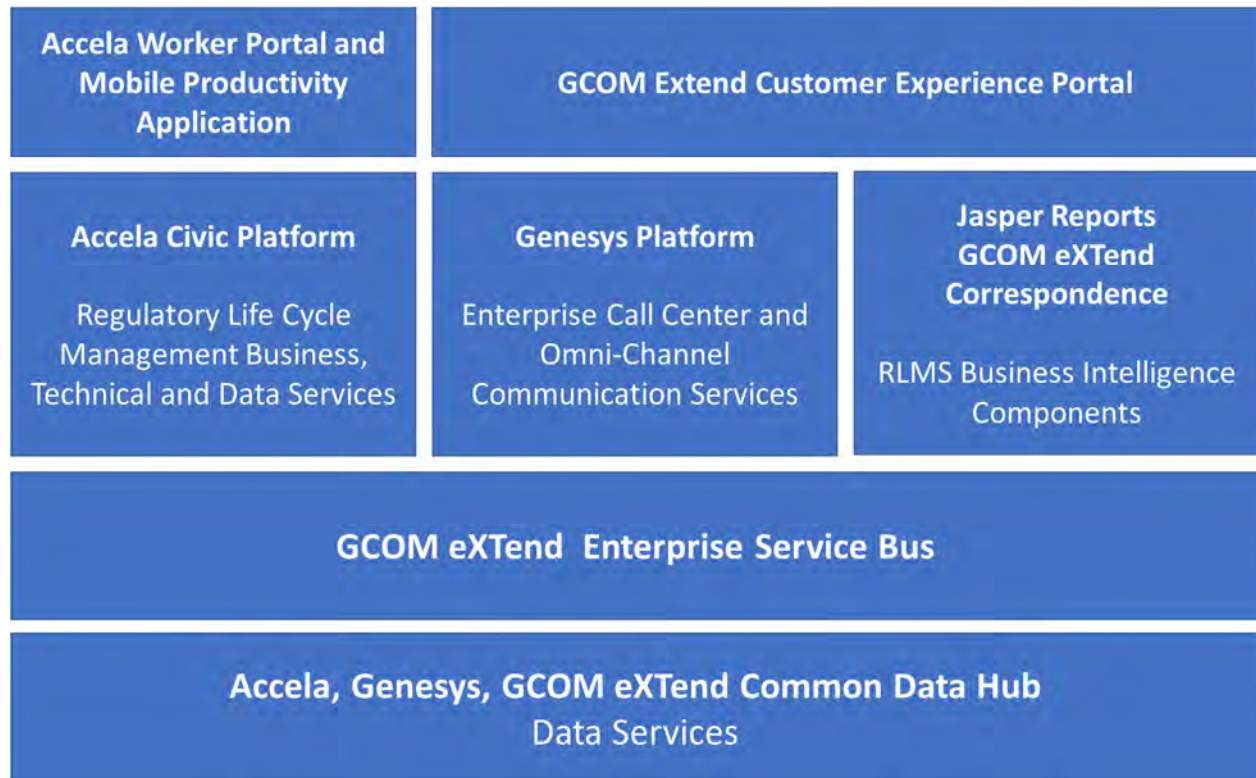


Exhibit II-5: Key COTs Software Infrastructure Packages

GCOM’s technical solution features four primary technical components oriented in a high performance, scalable and extensible n-tier architecture:

- **The Accela Civic Platform (Accela)** – the industry’s leading regulatory lifecycle management packaged software solution. Accela provides a complete set of platform services that enable government agencies to deliver transparent and efficient customer service experiences that are configured and customized to meet government service provider’s unique business and regulatory requirements. The Accela Civic Platform forms the core of GCOM AgCSS Solution. The Accela Platform provides user interfaces for agency office workers, agency field workers, and agency information users.
- **Genesys Communications Platform (Genesys)** – provides integration of multi-modal call center support with the Accela web facing components. Genesys enables chat, voice, text and co-browsing customer engagement and support for the web facing AgCSS components in real time.
- **GCOM eXTend Software** – a set of enterprise business and technical services from which GCOM delivers configurable and flexible public sector solution in the regulatory, public safety and health and human services domains. GCOM eXTend Software provides the COTS product framework for the proposed enterprise service bus, common data hub, correspondence management engine, customer experience portal which will support desktop and mobile.



- **Jasper and Accela reporting and data visualization tools** – GCOM AgCSS includes industry leading enterprise reporting and business intelligence tools that supplement reporting and analytics tools in the Civic Platform. The proposed solution includes management report and end user dashboards using both native Accela reporting tools and Jasper Reporting. Jasper Reports will be leveraged for management and worker dashboards that will source data from an AgCSS specific data warehouse.

AgCSS is an enterprise solution that can provide transformation throughout the department, improving transparency and empowering customers, providing mobility to the workforce for more efficient processes to be responsive to changing operational demands.

For the details of the selected option, refer to Appendix A: Business Case, Section 4.4 Selected Business Solution.

### III. Success Criteria

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

A critical initial step in the modernization of the FDACS regulatory systems portfolio is the development of a clear and guiding solution strategy and goals/success criteria that align with the overall mission of the Department and the FDACS IT Strategic Plan. The solution strategy and goals/success criteria need to clearly address the key risks and challenges the Department is currently facing while discharging its statutorily required functions and duties.

The format used to document the AgCSS solution strategy and goals/success criteria was a Strategy Articulation Map depicting the alignment between the Department’s mission down to each solution goal. Each of the four solution goals was further defined with goal descriptions and the business value that can be expected once AgCSS has been fully implemented. Appendix G: Success Criteria includes the Strategy Articulation Map and a detailed examination of how the goals will be realized.

#### *Key Performance Indicators*

The success of the project will also be based on a number of quantitative and qualitative factors. Each of these factors is in alignment with the guiding principles and solution goals outlined in the Strategy Articulation Map, as well as the overall vision and mission of the Department.

Key performance indicators (KPIs) were identified through the analysis of the business value of each solution goal. The ongoing measurement of specific KPIs has become part of the benefits realization plan. The major success criteria for the project, along with the identified KPIs are outlined in Exhibit III-1 below.

SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AGCSS) UPDATE

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	The solution will expand customer self-service capabilities.	<ul style="list-style-type: none"> <li>▪ Number of new and renewal licenses issued</li> <li>▪ Customer support costs</li> <li>▪ Customer satisfaction</li> <li>▪ Time to correspond to customers</li> <li>▪ Number of licenses issued and renewed online</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
2	The solution will leverage mobile solutions for both the workforce and customers.	<ul style="list-style-type: none"> <li>▪ Time to complete application</li> <li>▪ Time to issue permit/license</li> <li>▪ Time to complete inspection</li> <li>▪ Employee satisfaction</li> <li>▪ Customer satisfaction</li> <li>▪ Emergency Response communication, mapping, and coordination</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
3	The solution will provide a consistent customer experience.	<ul style="list-style-type: none"> <li>▪ Wait time for calls answered by Public Inquiry Section</li> <li>▪ Time to pay for multiple permits/licenses</li> <li>▪ Brand awareness</li> <li>▪ Customer satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
4	The solution will leverage a single view of customer interactions.	<ul style="list-style-type: none"> <li>▪ Number of redundant records</li> <li>▪ Number of duplicate permits/licenses</li> <li>▪ Number of redundant processes</li> <li>▪ Time to issue permit/license</li> <li>▪ Number of errors/omissions in applications</li> <li>▪ Mailing costs</li> <li>▪ Time to reconcile accounts with payments received</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
5	The solution will standardize e-commerce capabilities.	<ul style="list-style-type: none"> <li>▪ Number of new applications and renewals paid online</li> <li>▪ Cost of processing an initial application/ renewal</li> <li>▪ Number of paper documents produced</li> <li>▪ Time to reconcile accounts with payments received</li> <li>▪ Time to deposit payments received</li> <li>▪ Customer satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
6	The solution will enhance the interactions between Divisions and Offices.	<ul style="list-style-type: none"> <li>▪ Time to generate reports</li> <li>▪ Time to retrieve data from other Divisions</li> <li>▪ Emergency Response communication</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
7	The solution will expand the use of geospatial data.	<ul style="list-style-type: none"> <li>▪ Time to complete inspection</li> <li>▪ Emergency Response mapping</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
8	The solution will leverage a master data management framework to better predict areas for enforcement and monitoring activities.	<ul style="list-style-type: none"> <li>▪ Time to respond to infractions</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
9	The solution will continue movement towards a risk-based inspection and case management focus.	<ul style="list-style-type: none"> <li>▪ Time to complete inspection</li> <li>▪ Number of investigations performed</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
10	The solution will enhance the Department's Emergency Response capabilities.	<ul style="list-style-type: none"> <li>▪ Emergency Response time</li> <li>▪ Level of effort</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
11	The solution will maintain a robust inspection history.	<ul style="list-style-type: none"> <li>▪ Time to complete inspection</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
12	The solution will support enterprise-wide reporting needs.	<ul style="list-style-type: none"> <li>▪ Time to generate reports</li> <li>▪ Time to retrieve data from other Divisions</li> <li>▪ Paper documents produced</li> <li>▪ Report accuracy</li> <li>▪ Time to issue suspension</li> <li>▪ Time to respond to FDLE alerts</li> <li>▪ Time to respond to complaint/grievance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
13	The solution will improve functionality and ease of use.	<ul style="list-style-type: none"> <li>▪ Number of administrative actions generated</li> <li>▪ Number of paper documents produced</li> <li>▪ Time to process application</li> <li>▪ Time to process payment</li> <li>▪ Employee satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
14	The solution will simplify infrastructure and applications maintenance allowing for internal support.	<ul style="list-style-type: none"> <li>▪ Maintenance costs</li> <li>▪ FTEs</li> <li>▪ Number of redundant processes and applications</li> <li>▪ Security of information</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
15	The solution will support an enterprise master data strategy to reduce duplicative data.	<ul style="list-style-type: none"> <li>▪ Number of duplicate records</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
16	The solution will increase security, stability, and recoverability with implementation of latest technology standards.	<ul style="list-style-type: none"> <li>▪ Number of data breaches</li> <li>▪ System outages</li> <li>▪ National, State, and Department technology standards compliance</li> <li>▪ ADA Compliance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation

Exhibit III-1: Key Performance Indicators

### *Successful Procurement*

To help ensure the successful procurement of AgCSS, FDACS utilized a deep understanding of both the Florida procurement environment and regulatory solicitation environment from an implementation and vendor perspective. To successfully support the development and execution of the AgCSS procurement, the Department:

- **Mitigated the risk of protest**: Addressed the known steps, procedures, legal requirements, and required reviews of Florida’s state procurement requirements, and in applying a discipline and rigor to the process, helped ensure the procurement moved forward in a technically correct and transparent manner
- **Was precise, and be flexible enough to allow for innovation**: Presented the requirements in such a way as to allow vendors to bring new, innovative technologies or solutions to the procurement process for consideration, while also clearly and appropriately addressing the Department’s needs
- **Used Regulatory Subject Matter Experts**: Identified FDACS subject matter experts early to help in developing the ITN and when implementing the procurement process
- **Established a realistic and achievable procurement plan (schedule)**: A realistic and achievable schedule leaves left ample room for schedule adjustments without sacrificing critical schedule elements like the notice to award date

Contract negotiations with the awarded vendor (GCOM Software) are complete and the contract has been executed. Accela software licenses were procured prior to FY2016-17 yearend (i.e., by June 30, 2017). GCOM formally started on July 10, 2017 and will continue planning activities and ramping up to full staffing levels in September. GCOMs approach includes a series of Sprints for System Level Design, Global Configuration, and Prototype Records.

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

### A. Benefits Realization Table

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

Over the last decade, the Department has experienced a significant expansion in all of its primary licensing, inspection, permitting, and consumer response functional areas. An analysis of the historical trends and their future projection has identified constraints on the additional operational efficiencies which could be gained from improving the existing applications with an enterprise regulatory system.

Specifically citing the Divisions of Licensing and Consumer Services, who have both seen drastic increases in the number of their regulatory responsibilities, they would have to expand their workforce numbers or increase their operational efficiency rates to meet this increased demand. Implementing a modern, enterprise-wide regulatory system will provide a workforce multiplier allowing the Department to avoid a significant portion of an expected increase in staffing. A tangible benefit was calculated to estimate the savings from not hiring to the staffing levels which would be required across the Department if enterprise regulatory solution is not fully implemented.

System limitations in certain Divisions, especially in the DoL, have resulted in requests for Division-level modernization projects. While there are other examples of Division system modernization requests, only the Division of Licensing's estimated implementation costs have been included as a tangible benefit. The DoL completed a Schedule IV-B in 2009 to modernize its permitting and licensing functions. The implementation costs were scheduled to be incurred over a 42-month period for a total of \$10,900,000. Implementing AgCSS can effectively avoid the expenditure of this estimated \$10.9 M.

Given the AgCSS project is underway, a Benefits Realization Plan (BRP) has been developed, approved, and is in the process of measuring the benefits that accrue as a result of the project. However, the BRP is in the early stages of implementation for the project. Therefore, the tangible benefit amounts incorporated into the analysis that underlies this chapter are tied to the two primary benefits that were originally identified for this project – efficiency gains throughout the Department and cost avoidance in the area of numerous system modernization efforts that will no longer be required to improve and maintain operating efficiency and effectiveness. These two tangible benefits are presented in Exhibit IV-1: Expected Benefits.

Due to the interim nature of the project, substantial detail is available on the comprehensive set of benefits that will be tracked over time to help realize identified benefits. This detail is presented in the second Benefits Realization table, Exhibit IV-2: Expected Benefits – Detailed View.

The process presently underway for the comprehensive set of benefits involves the following key steps:

- Developing baseline values for each benefit
- Subsequently identifying specific target values for each benefit

Once these tasks are complete, the cost benefit analysis will be updated with the specific estimates for each (tangible) benefit. In this regard, the AgCSS project has already made significant progress toward investment accountability through a structured and detailed Benefits Realization Plan. As we move forward, the benefits associated with an enterprise-wide 15% efficiency gain will be incrementally replaced with specific and discreetly measurable benefit values.

In addition to the set of tangible benefits identified for the project, multiple intangible benefits have been identified. These intangible benefits represent the Department's efforts to establish an effective vehicle for collecting and processing a broad set of feedback indicators from those served by and affected by the Department in the fulfillment of its mission.

A summary of the estimated tangible benefits is displayed in the exhibit below.

BENEFITS REALIZATION TABLE						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Increase process efficiencies in anticipation of growth in overall transaction volume – the value from these efficiency gains is estimated to increase to \$20.5 million annually when AgCSS is fully implemented	Tangible	<ul style="list-style-type: none"> <li>▪ Applicants</li> <li>▪ Permit/ License Holders</li> <li>▪ FDACS/State</li> <li>▪ Citizens</li> </ul>	Anticipated functionality of the modern system’s implementation.	Avoiding the majority of costs of adding staff to meet anticipated growth in permitting, licensure, inspection, and consumer response volumes. In addition to avoiding adding staff, existing staff should realize efficiency gains allowing for an emphasis on priority/value-add activities.	No specific date as the benefits will be realized over length of implementation, which is based upon the number of users; additional users will increase efficiencies.
2	Avoiding known costs of a previous system modernization involving only the DoL from five years ago – benefit is estimated over the life of the planned implementation at a total of \$10,900,000.	Tangible	<ul style="list-style-type: none"> <li>▪ FDACS/State</li> <li>▪ Citizens</li> </ul>	Anticipated functionality of the modern system’s implementation.	Avoiding the cost funding individual Division system modernization projects.	No specific date as the benefits will be realized over length of implementation, which is based upon the number of users; additional users will increase efficiencies.

**Exhibit IV-1: Expected Benefits**

The identified tangible and intangible benefits that have been incorporated into the Benefits Realization Plan are displayed in the exhibit below:



BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Improved program accountability through real-time access to data; increased visibility into how the department performs its regulatory activities.	Intangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	<ul style="list-style-type: none"> <li>• Real-time access for the public to more data on how FDACS conducts its regulatory activities will result in added transparency and accountability of the regulatory processes.</li> <li>• Real-time access for the public will be enabled by enterprise master data management, and shared access to data and analytics on regulatory data, application of a consistent and standardized flow of actions through the regulatory processes across program areas, and visibility to the individual actions is possible.</li> <li>• Consistency in the structure of data across program areas allows for consistent sharing of data.</li> <li>• This enables</li> </ul>	Impact of this benefit is largely intangible. Other identified benefits (confirm #) already measure tangible impacts of increased data availability and therefore insight into how the department performs its regulatory activities. This benefit, while not readily quantifiable, is nonetheless significant given its ability to increase confidence in the department's regulatory effectiveness.	Upon Completion of the Project

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
				businesses and the public to initiate their own actions to react, resolve or manage a given issue or situation.		
2	Increased visibility into whether a regulated entity and/or site is being managed effectively.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	Cross-divisional collaboration to improve Best Management Practices (BMP) adherence and ease audit efforts.	Measurement activities for benefit #22 (improved ability to strategically target inspections) also assesses the impact of this benefit. Specifically, comparing the following will provide information as to whether regulated entities are being managed effectively: <ul style="list-style-type: none"> <li>• Pre-AgCSS percentage of total inspections that verify the existence of one or more risk conditions.</li> <li>• Post-AgCSS percentage of total inspections that verify the existence of one or more risk conditions.</li> </ul>	Upon Completion of the Project

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					The difference between the pre- and post-AgCSS percentage of total inspections that verify the existence of one or more risk conditions, will measure the extent to which this benefit is realized.	
3	Increased visibility for department executive management into program area metrics via dashboard functionality, facilitating a more proactive response to operational issues/challenges.	Tangible	<ul style="list-style-type: none"> <li>FDACS</li> </ul>	Currently, executive management has to go to each Division to gather information, for instance, on the average number of inspections completed monthly by the FDACS. Having complete and timely information will allow management to make informed decisions.	Comparing the following: <ul style="list-style-type: none"> <li>Pre-AgCSS amount of time spent by staff creating reports on regulatory activity for a given period (mo., quarter, year).</li> <li>Post-AgCSS time spent by staff creating reports on regulatory activity for a given period (mo., quarter, year).</li> </ul> The difference between the pre- and post-AgCSS amount of time spent by staff creating reports on	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					regulatory activity will measure the extent to which this benefit is realized.	
4	More comprehensive cross-program area responses to requests for information.	Intangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	The proposed solution will allow for this information, gathered from individual FDACS inspections, to be available to all FDACS program areas and the public.	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS respondent ratings (FDACS staff, the public, and regulated entities) of the department's responsiveness to requests for information. Ratings will be on the dimensions of timeliness, completeness, and relevance (i.e., was it the information being requested?).</li> <li>• Post-AgCSS respondent ratings (FDACS staff, the public, and regulated entities) of the department's responsiveness to requests for information. Ratings will be on the dimensions of</li> </ul>	Upon Completion

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					<p>timeliness, completeness, and relevance (i.e., was it the information being requested?).</p> <p>The difference between pre- and post-AgCSS respondent ratings will measure the extent to which this benefit is realized.</p>	
5	Increased data quality and accuracy.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	There is duplication of information for a single regulated business entity in multiple programs areas. The proposed solution will allow for this information, gathered for an individual FDACS regulated entity to be updated and kept correct in a single system and available to all applicable FDACS program areas.	<p>Comparing the following:</p> <ul style="list-style-type: none"> <li>• Pre-AgCSS count of notifications (mail, email, phone calls) to regulated entities for a given period (mo., quarter, year).</li> <li>• Pre-AgCSS amount of time spent by staff generating and sending notifications to regulated entities.</li> <li>• Pre-AgCSS cost of staff time for those staff involved in generating and sending notifications to regulated entities.</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					<ul style="list-style-type: none"> <li>• Post-AgCSS count of notifications (mail, email, phone calls) to regulated entities for a given period (mo., quarter, year).</li> <li>• Post-AgCSS amount of time spent by staff generating and sending notifications to regulated entities.</li> <li>• Post-AgCSS cost of staff time for those staff involved in generating and sending notifications to regulated entities.</li> </ul> <p>The difference between pre- and post-AgCSS values for these data elements will measure the extent to which this benefit is realized.</p>	
6	Reduced complexity of the Department’s regulatory system portfolio.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> </ul>	Through the use of one master regulatory lifecycle management system, the complexity	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS maintenance costs associated with</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
				involved in maintaining and modifying multiple regulatory systems is removed; the complexity of interfaces between the different regulatory processes is reduced.	<p>existing regulatory systems (mo., quarter, year). This includes both time spent by IT staff on existing regulatory system(s) maintenance, AND costs for contractors and/or vendors associated with existing system maintenance.</p> <ul style="list-style-type: none"> <li>• Post-AgCSS maintenance costs associated with the AgCSS (mo., quarter, year). This includes both time spent by IT staff on AgCSS maintenance, AND any costs for contractors and/or vendors associated with AgCSS maintenance.</li> </ul> <p>The difference between pre- and post-regulatory system(s) maintenance costs will measure the extent to which this</p>	

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					benefit is realized.	
7	Simplify future development and procurement efforts in the regulatory area.	Tangible	<ul style="list-style-type: none"> <li>FDACS</li> </ul>	Through the use of one master regulatory lifecycle management system and platform standardization the complexity of applications, software and system software will be reduced; the complexity of software and/or system software and/or contractor skill sets is simplified.	<p>Comparing the following:</p> <ul style="list-style-type: none"> <li>Pre-AgCSS costs of custom development and procurement activities associated with existing regulatory systems (mo., quarter, year).</li> <li>Post-AgCSS costs of custom development and procurement activities associated with existing regulatory systems (mo., quarter, year).</li> </ul> <p>The difference between pre- and post-AgCSS development and procurement costs associated with existing regulatory systems will measure the extent to which this benefit is realized.</p>	Upon Implementation



BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
8	Enhanced predictive capabilities, resulting from master data management and shared access to data, allow the department to better anticipate and respond to situations/events.	Intangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	Through enterprise master data management and shared access to data, it is possible to utilize analytics on cross program area regulatory data to anticipate or quickly identify situations of concern, pinpoint areas for department response, and model and forecast effective action options; responses can be quickly implemented across the department.	<p>Comparing the following:</p> <ul style="list-style-type: none"> <li>• Pre-AgCSS respondent ratings (FDACS staff, the public, and regulated entities) of the Department's timely response to situations/events requiring Department response.</li> <li>• Post-AgCSS respondent ratings (FDACS staff, the public, and regulated entities) of the Department's timely response to situations/events requiring Department response.</li> </ul> <p>The difference between pre- and post-AgCSS respondent ratings (FDACS staff, the public, and regulated entities) of the Department's timely response to situations/events requiring Department</p>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					response will measure the extent to which this benefit is realized.	
9	The ability to respond rapidly to new regulatory responsibilities via a "configure and implement" capability (as opposed to having to develop new functionality).	Intangible	<ul style="list-style-type: none"> <li>FDACS</li> </ul>	Rather than having to develop, or copy-and-adjust, applications and data structures to handle new regulatory programs, an immediate “configure and implement” process within the standard regulatory application framework is possible; where data already exists, it can be shared across program areas.	Comparing the following: <ul style="list-style-type: none"> <li>Pre-AgCSS respondent ratings (FDACS staff, FDACS executive management, and regulated entities) of the Department's responsiveness to legislative mandates. Ratings will be on the dimensions of timeliness and effectiveness (i.e., the extent to which the Department's response was what the Legislature intended).</li> <li>Post-AgCSS respondent ratings (FDACS staff, FDACS executive management, and regulated entities) of the Department's responsiveness to</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					<p>legislative mandates. Ratings will be on the dimensions of timeliness and effectiveness (i.e., the extent to which the Department's response was what the Legislature intended).</p> <p>The difference between pre- and post-AgCSS respondent ratings will measure the extent to which this benefit is realized.</p>	
10	Reduced complexity of, and amount of, custom development associated with interfaces to non-AgCSS applications.	Tangible	<ul style="list-style-type: none"> <li>FDACS</li> </ul>	Through the use of one master regulatory lifecycle management system, the complexity and number of interfaces required in non-AgCSS applications to the AgCSS functions and data is reduced; consequently, development time and complexity of	<p>Comparing the following:</p> <ul style="list-style-type: none"> <li>Pre-AgCSS cost of custom development associated with non-AgCSS interfaces for a given period (mo., quarter, year).</li> <li>Post-AgCSS cost of custom development associated with non-AgCSS interfaces for a given period (mo.,</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
				those applications is reduced.	quarter, year).  The difference between pre- and post-AgCSS development costs associated with non-AgCSS interfaces will measure the extent to which this benefit is realized.	
11	Through a streamlined regulatory process, that reduces touch points for customers, decreases response time, and increases visibility leading to an improved customer experience and customer satisfaction with the department.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	<p>Customer satisfaction is improved in the following ways:</p> <ul style="list-style-type: none"> <li>• By minimizing the number of “touch points” between the initial contact point with the department and the provision of the information needed.</li> <li>• By reducing the response-time to provide cross-program area regulatory information.</li> <li>• By increasing the breadth of cross-program area regulatory</li> </ul>	<p>Comparing the following:</p> <ul style="list-style-type: none"> <li>• Count of customer complaints pre-AgCSS implementation for a given time period (mo., quarter, year).</li> <li>• Count of customer complaints post-AgCSS implementation for a given time period (mo., quarter, year).</li> </ul> <p>The difference between pre- and post-AgCSS count of customer complaints will measure the extent to which this benefit is realized.</p>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
				information that can be quickly provided.		
12	Improved customer experience due to multi-channel access to information and transparency regarding the status of their request.	Intangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	Improve ability to track and communicate the progress, timeline, and status of regulatory processes (licensure, inspections, permitting) to the public and regulated entities through increased standardization in capture of regulatory data and improved reporting.	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS respondent ratings (the public and regulated entities) of the Department's level of effectiveness at conducting regulatory activities (licensing, inspections, permitting).</li> <li>• Post-AgCSS respondent ratings (the public and regulated entities) of the Department's level of effectiveness at conducting regulatory activities (licensing, inspections, permitting).</li> </ul> The change in pre- and post-AgCSS respondent ratings of the Department's effectiveness at conducting	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					regulatory activities will measure the extent to which this benefit is realized.	
13	Increased confidence, within the Department and on the part of the general public, in the Department's emergency response capabilities.	Intangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	This benefit is realized in the following ways: <ul style="list-style-type: none"> <li>• Additional communication and data sharing within FDACS during emergency situations.</li> <li>• Increased speed in configuring systems to manage emergency situations.</li> <li>• Increased metrics related to emergency situation response available for publication.</li> </ul>	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS respondent ratings (FDACS staff and the public) of the department's responsiveness to emergency situations.</li> <li>• Post-AgCSS respondent ratings (FDACS staff and the public) of the department's responsiveness to emergency situations.</li> </ul> The difference between pre- and post-AgCSS respondent ratings will measure the extent to which this benefit is realized.	Upon Implementation
14	Single online payment portal for customers to pay for an authorization, license, renewal, certification, registration, or permit which the Department regulates.	Tangible	<ul style="list-style-type: none"> <li>• Regulated businesses and industries</li> </ul>	Minimize and standardize payment points and methods leading to decreased customer frustration	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS number of online payment accounts</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
				stemming from having multiple accounts and increased customer satisfaction through better customer service related to the online payment process.	(per customer) at a point in time. <ul style="list-style-type: none"> <li>• Post-AgCSS number of online payment accounts (per customer) at a point in time, such as 12 months following implementation of the AgCSS.</li> </ul> <p>The difference between the pre- and post-AgCSS number of online payment accounts will measure the extent to which this benefit is realized.</p>	
15	Enhanced alignment between FDACS' regulatory systems and the department's IT Strategic Plan, leading to a more responsive IT function and subsequently more effective business operations.	Intangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Legislature</li> </ul>	FDACS quickly and effectively internalizes the vision and mission as communicated by executive leadership.	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS respondent ratings (FDACS staff, w/a particular emphasis on division/office-level management, and executive leadership) of IT's responsiveness to identified business needs. Ratings will be on the dimensions</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					<p>of response timeliness, response efficiency, and response effectiveness. Regarding effectiveness, respondents will be asked to identify tangible outcomes as a result of response effectiveness (e.g., did productivity increase in the affected business unit?).</p> <ul style="list-style-type: none"> <li>• Post-AgCSS respondent ratings (FDACS staff, w/a particular emphasis on division/office-level management, and executive leadership) of IT's responsiveness to identified business needs. Ratings will be on the dimensions of response timeliness, response efficiency, and response effectiveness. Regarding</li> </ul>	



BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					effectiveness, respondents will be asked to identify tangible outcomes as a result of response effectiveness (e.g., did productivity increase in the affected business unit?).  The difference between pre- and post-AgCSS respondent ratings will measure the extent to which this benefit is realized.	
16	More timely responses to requests for cross-program area information.	Intangible	<ul style="list-style-type: none"> <li>● FDACS</li> <li>● Legislature</li> <li>● Regulated businesses and industries</li> <li>● Public</li> </ul>	he proposed solution will integrate data across program areas facilitating more rapid responses. Further, the mobile inspection components of the proposed solution will help mitigate lag times as data will be recorded in real-time.	The survey administered for benefit #4 will also serve to address this benefit, given that the survey addresses response timeliness for cross-program area information requests.	Upon Completion
17	Coordinated inspection scheduling to facilitate cross-program tasking where appropriate.	Tangible	<ul style="list-style-type: none"> <li>● FDACS</li> <li>● Regulated</li> </ul>	The proposed solution will allow viewing when the	Comparing the following: <ul style="list-style-type: none"> <li>● Pre-AgCSS count</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
			businesses and industries	next inspection is due for a business and ask, where appropriate, for an inspector going to the site to perform a task outside of their program area.	of total inspections for a given period (mo., quarter, year). <ul style="list-style-type: none"> <li>• Pre-AgCSS count of inspections where an inspector was able to perform cross-program activities for a given period (mo., quarter, year).</li> <li>• Post-AgCSS count of total inspections for a given period (mo., quarter, year).</li> <li>• Post-AgCSS count of inspections where an inspector was able to perform cross-program activities for a given period (mo., quarter, year).</li> </ul> The difference between pre- and post-AgCSS percentages of inspections where an inspector was able to perform cross-program activities will measure the	

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					extent to which this benefit is realized.	
18	Eliminate redundant data collection; e.g., for customers with multiple permitting and licensing activities.	Intangible	<ul style="list-style-type: none"> <li>● FDACS</li> <li>● Regulated businesses and industries</li> <li>● Public</li> </ul>	The proposed solution will integrate data across program areas, eliminating requests for data that has already been provided.	TBD	Upon Implementation
19	Increased rate of license application processing per individual staff person, allowing for staffing levels to remain constant (i.e., eliminating/reducing the need to augment capacity with temporary staffing resources).	Tangible	<ul style="list-style-type: none"> <li>● FDACS</li> <li>● Regulated businesses and industries</li> <li>● Public</li> </ul>	The proposed solution will facilitate more efficient processing by virtue of process standardization, achieving economies of scale, increased data accuracy, and cross-program data sharing.	Comparing the following: <ul style="list-style-type: none"> <li>● Pre-AgCSS rate (per hour) of license application processing per individual staff person for a given period (mo., quarter, year).</li> <li>● Pre-AgCSS count of temporary staffing resources during a given period (mo., quarter, year).</li> <li>● Post-AgCSS rate (per hour) of license application processing per individual staff person for a given</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					period (mo., quarter, year). <ul style="list-style-type: none"> <li>• Post-AgCSS count of temporary staffing resources during a given period (mo., quarter, year).</li> </ul>	
20	Decreased length of time from submission of license application to license issuance.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	The proposed solution will facilitate more efficient processing by virtue of process standardization, achieving economies of scale, increased data accuracy, and cross-program data sharing.	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS average length of time to license issuance.</li> <li>• Pre-AgCSS average length of time to certificate issuance.</li> <li>• Pre-AgCSS average length of time to registration completion.</li> <li>• Post-AgCSS average length of time to license issuance.</li> <li>• Post-AgCSS average length of time to certificate issuance.</li> <li>• Post-AgCSS average length of time to registration completion.</li> </ul>	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					The difference between the pre- and post-AgCSS average lengths of time to license/certificate/registration issuance/ completion will measure the extent to which this benefit is realized.	
21	A more effective regulatory response due to improved communication, cooperation, and collaboration of regulatory information between FDACS program areas and divisions.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Regulated businesses and industries</li> </ul>	The proposed solution will allow for this information, gathered from individual FDACS inspections, to be available to all FDACS program areas, thereby allowing for coordination of activities across program areas.	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS amount of time required to prepare for and conduct inspections (past the initial inspection) of regulated entities.</li> <li>• Post-AgCSS amount of time required to prepare for and conduct inspections (past the initial inspection) of regulated entities.</li> </ul> The difference between the pre- and post-AgCSS amount of time required to prepare for and	Upon implementation and during each inspection of a regulated entity and/or site past the initial inspection.

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					conduct inspections (past the initial inspection) will measure the extent to which this benefit is realized.	
22	The ability to strategically target inspections to identified areas of risk due to increased access to a more comprehensive set of inspection/regulatory data.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	Having all of the department’s regulatory data managed in one system will give inspectors access to information regarding the site from other inspections and programs that should help target their inspection.	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS count of total inspections of regulated entities.</li> <li>• Pre-AgCSS count of inspections that verify the existence of one or more risk conditions.</li> <li>• Post-AgCSS count of total inspections of regulated entities.</li> <li>• Post-AgCSS count of inspections that verify the existence of one or more risk conditions.</li> </ul> The difference between the pre- and post-AgCSS percentages of inspections that verify the existence	Upon Implementation

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
					of one or more risk conditions will measure the extent to which this benefit is realized.	
23	The new AgCSS system will support a variety of process improvements that will improve processing efficiency in Finance & Accounting.	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> <li>• Regulated businesses and industries</li> <li>• Public</li> </ul>	The new AgCSS system will support a variety of process improvements that will improve processing efficiency in Finance & Accounting.	Comparing the following: <ul style="list-style-type: none"> <li>• Pre-AgCSS amount of time (on avg.) that F&amp;A staff spend on processing-related tasks.</li> <li>• Post-AgCSS amount of time (on avg.) that F&amp;A staff spend on processing-related tasks.</li> </ul> The difference between the pre- and post-AgCSS amount of time (on avg.) that F&A staff spend on processing-related tasks will measure the extent to which this benefit is realized.	Upon Completion
24	The current revenue accounting system (REV) can be quite slow with multiple processes running at the same time. The new AgCSS is expected to	Tangible	<ul style="list-style-type: none"> <li>• FDACS</li> </ul>	The current revenue accounting system is over 20 years old. With multiple users processing manual	The impact of this benefit will be included in the measurement of efficiency gains	Upon Completion

BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
	improve system performance levels, allowing for more efficient processing.			payments, importing credit card payments and processing coupons, there is significant drain on the system's performance levels. REV becomes very slow with multiple processes running at the same time. The performance of REV is a problem for the various users as they have to wait for their respective processes to run. The new AgCSS is expected to notably improve performance levels.	experienced by Finance & Accounting (benefit #23) and will therefore not be measured separately.	
25	Finance & Accounting staff have had to work with an inefficient system for years, and are routinely frustrated by the REV system's inadequacies. The new AgCSS system, which will promote more efficient processing, should contribute to improved employee morale on the part of Finance & Accounting staff.	Intangible	<ul style="list-style-type: none"> <li>FDACS</li> </ul>	Finance & Accounting staff have had to work with an inefficient system for years, and are routinely frustrated by the REV system's inadequacies. The new AgCSS system, which will promote more efficient processing, should	Comparing the following: <ul style="list-style-type: none"> <li>Pre-AgCSS respondent ratings (F&amp;A staff) of their level of satisfaction with the REV system on multiple dimensions, including ease of use, efficiency, and effectiveness.</li> <li>Post-AgCSS</li> </ul>	Upon Completion

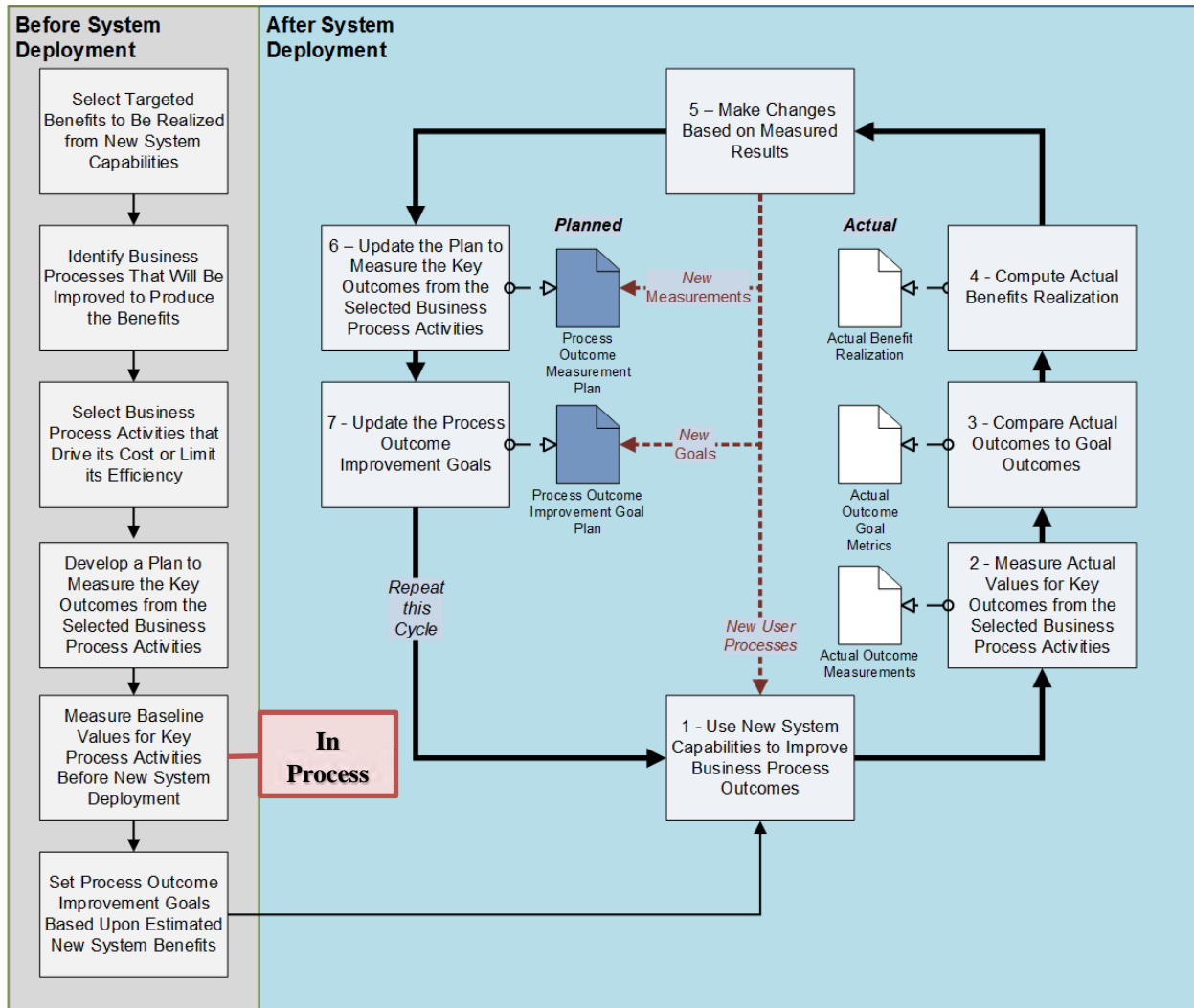


BENEFITS REALIZATION TABLE – DETAILED VIEW						
#	Description of Benefit	Tangible or Intangible	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
				contribute to improved employee morale on the part of Finance & Accounting staff.	<p>respondent ratings (F&amp;A staff) of their level of satisfaction with the REV system on multiple dimensions, including ease of use, efficiency, and effectiveness.</p> <p>The difference between pre- and post-AgCSS respondent ratings will measure the extent to which this benefit is realized.</p>	
26	Efficiency gains on key work tasks for Ag Law.	Tangible	<ul style="list-style-type: none"> <li>FDACS</li> </ul>	The proposed solution will facilitate more efficient processing by virtue of process standardization, achieving economies of scale, increased data accuracy, and cross-program data sharing.	<p>Comparing the following:</p> <ul style="list-style-type: none"> <li>Pre-AgCSS .</li> <li>Post-AgCSS .</li> </ul> <p>The difference between pre- and post-AgCSS time spent on key tasks will measure the extent to which this benefit is realized.</p>	Upon Implementation

Exhibit IV-2: Expected Benefits – Detailed View

**AgCSS Project Benefits Realization Strategy**

The Department has developed a strategy for realizing the estimated benefits expected from modernizing its technology infrastructure through the implementation of AgCSS to improve business processes and their associated outcomes. The approved Benefits Realization Plan (see Appendix G) is the mechanism by which this strategy is being implemented. Exhibit IV-3 portrays this strategy and the approach that the Department has begun to track and manage project benefit realization.



**Exhibit IV-3: Benefits Realization Process**

A detailed understanding of the Benefits Realization Process can be found in Appendix G – Benefits Realization Plan.

After implementation of AgCSS, benefits realization management will consist of recurring cycles of the following actions:

1. Use AgCSS’s capabilities and functionality to improve business process outcomes (e.g. lower cost, higher output, improved quality, etc.)
2. Measure the actual process outcomes
3. Compare the actual outcomes to the goal outcomes
4. Compute actual benefits realization

5. Make changes to AgCSS user processes or procedures, to the measurement plan, or to the process outcome goals – based upon the actual measurement results
6. Review and update the key process outcomes measurement plan, as required
7. Review and update process outcomes improvement goals, as required

## B. Cost Benefit Analysis (CBA)

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

### 1. The Cost-Benefit Analysis (CBA) Forms

The following chart summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 – Net Tangible Benefits	<p><b>Agency Program Cost Elements:</b> Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p><b>Tangible Benefits:</b> Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2A – Baseline Project Budget	<p><b>Baseline Project Budget:</b> Estimated project cost detail presented by expenditure category for each fiscal year.</p>
CBA Forms 2B & C – Project Cost Analysis	<p><b>Project Cost Summary:</b> Estimated project costs presented in aggregate for each fiscal year.</p> <p><b>Project Funding Sources:</b> Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p><b>Characterization of Project Cost Estimate.</b></p>
CBA Form 3 – Project Investment Summary	<p><b>Investment Summary Calculations:</b> Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> <li>▪ Return on Investment</li> <li>▪ Payback Period</li> <li>▪ Breakeven Fiscal Year</li> <li>▪ Net Present Value</li> <li>▪ Internal Rate of Return</li> </ul>



**SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AGCSS) UPDATE**

FDACS Agriculture and Consumer Services System			CBA Form 2A Baseline Project Budget																									
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.			FY2018-19	FY2019-20			FY2020-21			FY2021-22			FY2022-23			FY2023-24			FY2024-25			FY2025-26			TOTAL			
Item Description <small>(remove guidelines and annotate entries here)</small>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 Base Budget			YR 2 Base Budget			YR 3 Base Budget			YR 4 Base Budget			YR 5 Base Budget			YR 6 Base Budget			YR 7 Base Budget			YR 8 Base Budget			TOTAL
				YR 1 #	YR 1 LBR	Budget	YR 2 #	YR 2 LBR	Budget	YR 3 #	YR 3 LBR	Budget	YR 4 #	YR 4 LBR	Budget	YR 5 #	YR 5 LBR	Budget	YR 6 #	YR 6 LBR	Budget	YR 7 #	YR 7 LBR	Budget	YR 8 #	YR 8 LBR	Budget	
			\$ 15,561,185	\$ 13,292,707			\$ 11,645,061			\$ 13,740,459			\$ 414,340			\$ -			\$ -			\$ -			\$ -			\$ 54,653,752
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ 172,040	\$ -	0.00	\$ 241,040	\$ -	0.00	\$ 172,960	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 586,040
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ 153,945	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 153,945
Project management personnel and related deliverables.	Project Management/OCM	Contracted Services	\$ 3,589,282	0.00	\$ 1,964,367	\$ -	0.00	\$ 2,619,156	\$ -	0.00	\$ 1,964,367	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 10,147,172
Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ 1,025,580	0.00	\$ 300,900	\$ -	0.00	\$ 401,200	\$ -	0.00	\$ 300,900	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 2,028,590
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ 257,600	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 257,600
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Hardware purchases not included in Primary Data Center services.	Hardware	OCO	\$ 53,845	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 53,845	
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ 4,382,001	\$ 96,340	\$ -	\$ -	\$ 96,340	\$ -	\$ -	\$ 96,340	\$ -	\$ -	\$ 96,340	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 4,777,362
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables - System Changes	Contracted Services	\$ 3,640,000	\$ 10,654,560	\$ -	\$ -	\$ 8,222,825	\$ -	\$ -	\$ 11,141,392	\$ -	\$ -	\$ 253,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 33,912,277
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Include the quote received from the state data center for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Other contracted services not included in other categories.	Other Services, Pre-DDI BPR/Reqs./Use Cases	Contracted Services	\$ 1,897,302	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,897,302	
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail).	Equipment	Expense	\$ 23,069	\$ 40,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 63,069	
Equipment maintenance.	Equipment Maintenance	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ 332,710	\$ 64,500	\$ -	\$ -	\$ 64,500	\$ -	\$ -	\$ 64,500	\$ -	\$ -	\$ 64,500	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 590,710	
Other project expenses not included in other categories.	Other Expenses	Expense	\$ 185,841	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 185,841	
<b>Totals</b>			\$ 15,561,185	0.00	\$ 13,292,707	\$ -	0.00	\$ 11,645,061	\$ -	0.00	\$ 13,740,459	\$ -	0.00	\$ 414,340	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 54,653,752

**Exhibit IV-5: Baseline Project Budget**

SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AGCSS) UPDATE

CBAForm 2 - Project Cost Analysis

Agency FDACS Project Agriculture and Consumer Services System

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)								TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	
TOTAL PROJECT COSTS (*)	\$13,292,707	\$11,645,061	\$13,740,459	\$414,340	\$0	\$0	\$0	\$0	\$39,092,567
CUMULATIVE PROJECT COSTS <i>(includes Current &amp; Previous Years' Project-Related Costs)</i>	\$28,853,892	\$40,498,953	\$54,239,412	\$54,653,752	\$54,653,752	\$54,653,752	\$54,653,752	\$54,653,752	\$54,653,752
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.									

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B								TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	
General Revenue	\$0	\$11,099,865	\$13,696,605	\$414,340	\$0	\$0	\$0	\$0	\$25,210,810
Trust Fund	\$13,292,707	\$545,196	\$43,854	\$0	\$0	\$0	\$0	\$0	\$13,881,757
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>TOTAL INVESTMENT</b>	\$13,292,707	\$11,645,061	\$13,740,459	\$414,340	\$0	\$0	\$0	\$0	\$39,092,567
<b>CUMULATIVE INVESTMENT</b>	\$13,292,707	\$24,937,768	\$38,678,227	\$39,092,567	\$39,092,567	\$39,092,567	\$39,092,567	\$39,092,567	\$39,092,567

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

Exhibit IV-6: Project Cost Analysis

SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AGCSS) UPDATE

CBAForm 3 - Project Investment Summary Agency FDACS Project Agriculture and Consumer Services System

<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>										
	0	1	2	3	4	5	6	7	8	
	Prior Costs	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	Total Project Totals
Project Cost	(\$15,561,185)	(\$13,292,707)	(\$11,645,061)	(\$13,740,459)	(\$414,340)	\$0	\$0	\$0	\$0	(\$54,653,752)
Tangible Benefits	\$0	\$3,114,286	\$3,627,561	\$4,929,998	\$11,822,652	\$15,398,263	\$20,531,017	\$20,531,017	\$20,531,017	\$100,485,810
Return on Investment	(\$15,561,185)	(\$10,178,421)	(\$8,017,499)	(\$8,810,461)	\$11,408,311	\$15,398,263	\$20,531,017	\$20,531,017	\$20,531,017	\$45,832,058

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	6.77	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	FY 2023-24	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$16,574,272	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	15.77%	IRR is the project's internal rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>								
Fiscal Year	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%	6.16%	7.84%	9.96%

Exhibit IV-7: Investment Summary

**2. The Cost-Benefit Analysis Results**

The projected net benefits for the AgCSS project are significant. The estimated NPV from the project over the next eight years is **\$16,574,272**. The NPV calculation includes an estimate of **\$100,485,810** in total project benefits and total project costs of **\$54,653,752\***. Because benefits continue after the eight-year period, the calculated NPV is conservative, potentially understating benefits of the project to the Department and Florida stakeholders.

*\*Of note is that \$15,561,185 of the total project cost has been expended prior to FY2018-19. This leaves a balance of \$39,092,567 in project costs spread across FY2018-19, FY2019-20, FY2020-21 and FY2021-22.*

**a. Project Costs**

The estimated total cost of implementing the AgCSS project is \$54.653 Million over the project life.

**b. Project Financial Return Analysis**

The Department has computed the following values for the AgCSS project.

Investment Term	Computed Value
Total Cost	\$54.653 M distributed over six fiscal years
Benefits	\$100.486 M in total benefits
Payback Period	6.77 years
Payback Date	SFY2023-24
<b>8 Year Analysis</b>	
Net Tangible Benefits	\$45.832 M (total benefits minus total costs)
NPV	\$16.574 M
IRR	15.77%

**Exhibit IV-8: Financial Return Analysis**

The breakeven year is FY 2023-24. This breakeven indicates a strong project that pays for itself quickly.

- The eight-year NPV is \$16.574 Million. By this measure, the AgCSS project is a very sound investment.
- The IRR is 15.77 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 percent by FY2022-23; leading to a projected rate for FY2023-24 a rate of 6.16 percent, for FY2024-25 of 7.84 percent, and for FY2025-26 a rate of 9.96 percent. Given that the AgCSS project’s IRR exceeds the forecasted cost of capital, the project would provide a positive impact to the Department’s financial position.

The Department recommends that funding for continuation of the AgCSS project be requested by the Executive Office of the Governor and approved by the Legislature. The Department is fully engaged in the first phase of the project, including implementation of a Benefits Realization Plan designed to support the Department in achieving identified benefit targets. The recommended next step is to secure funding of \$13,292,707 for FY2018-19.



## V. Schedule IV-B Major Project Risk Assessment

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

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

### A. Risk Assessment Summary

An in-depth risk assessment of the AgCSS project was performed using the risk assessment tool provided as part of the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool involves answering 89 questions about the project being considered, divided into eight assessment categories. The results of the assessment are summarized below and the entire completed Risk Assessment is included in the Appendix J: Risk Assessment.

The AgCSS project is in alignment with the Department's business strategy and goals. As expected in the early stages, the project carries some risk. It is expected that overall project risk will diminish significantly by the conclusion of the first year of implementation when the project structure is fully in place and the foundational technology elements have been implemented. With the onboarding of the PMO, there was a realized reduction of risk in the communications assessment area from last year's risk assessment. Exhibit V-1 is a graphical representation of the results computed by the risk assessment tool in Appendix J: Risk Assessment.

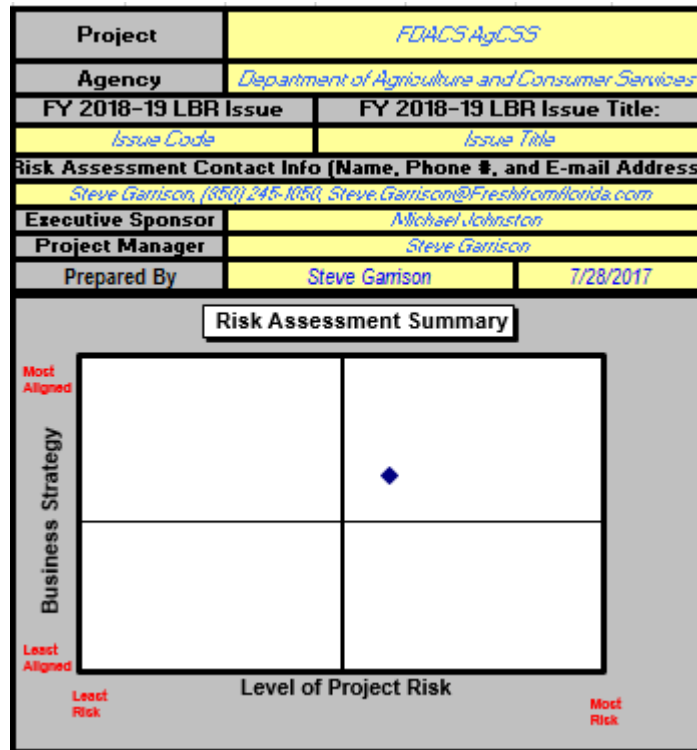


Exhibit V-1: AgCSS Project Risk Assessment Summary

The Department has established a project management methodology that has led to multiple successful implementations over the past few years. When answering the questions in the risk assessment tool, it was assumed that the current project management and governance structure in place would remain in place throughout the AgCSS project, and the Department has obtained the services of qualified vendors to support project management and IV&V services.

Specific examples of Risk Assessment (and Business Strategy alignment) areas that were addressed by the conclusion of the first year of the project include:

- **Strategic Risk**
  - a. All of the project objectives will be clearly aligned with the Department’s legal mission
  - b. The project objectives will be clearly documented and signed off by the stakeholders
  - c. The project charter will be signed by the executive sponsor
  - d. All of the project requirements, assumptions, constraints and priorities will be defined
- **Technology Risk**
  - a. Detailed hardware and software capacity requirements will be defined
- **Organizational Change Management Risk**
  - a. The business process changes will be defined and documented
  - b. Organizational Change Management will be essential for success
  - c. An Organizational Change Management Plan will be developed and approved early in the project
- **Communication Risk**
  - a. The Communication Plan will be approved
  - b. The Communication Plan will promote the routine use of feedback (at a minimum)
  - c. All affected stakeholders will be included in the Communication Plan
  - d. All key messages will be documented in the Communication Plan
  - e. Desired message outcomes and success measures will be documented in the Communication Plan
  - f. The Communication Plan will identify and assign needed staff
- **Fiscal Risk**
  - a. A Spending Plan will be documented and approved for the project lifecycle
  - b. All project expenditures will be identified and documented in the Spending Plan
  - c. The cost estimates for the project will be accurate within +/- 10%
  - d. We anticipate funds will be available within existing resources to complete the project
  - e. All tangible benefits will be identified and validated during the procurement phase
  - f. The procurement strategy will be reviewed and approved
  - g. A contract manager will be assigned to the project
- **Project Organization**
  - a. The project organization and governance structure will be defined and documented
  - b. A project staffing plan will identify and document all staff roles and responsibilities
  - c. The change review and control board will include representation from all stakeholders
- **Project Management Risk**
  - a. All requirements and specifications will be defined and documented
  - b. All requirements and specifications will be traceable to specific business rules
  - c. All project deliverables and acceptance criteria will be identified
  - d. The Work Breakdown Structure will be defined to the work package level
  - e. The project schedule will specify all project tasks, go/no-go decision points, milestones and resources
  - f. Formal project status reporting will be in place
  - g. All planning and reporting templates will be available
  - h. All known project risks and mitigation strategies will be identified
- **Complexity Assessment**
  - a. Organizational Change Management will be essential to mitigate the risks of multiple entities at multiple locations throughout the state
  - b. Communications Planning will be critical to ensure stakeholders are informed and involved

Exhibit V-2 illustrates the risk assessment areas that were evaluated and the breakdown of the risk exposure assessed in each area. As indicated above, the overall project risk should diminish significantly by the conclusion of the first year when the project structure is in place and the foundational technology elements have been implemented.

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

**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 Appendix K: Implementation Plan.

## VI. Schedule IV-B Technology Planning

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

### A. Current Information Technology Environment

#### 1. Current System

##### a. Description of current system

DoL administers 26 different license types and oversees the highest number of licenses within the Department, with almost 2 million current licensees as of July 1, 2017. Out of this present licensee count, approximately 1.8 million are concealed weapons licenses. General accessibility to licensing services via the Internet is not yet possible, and many applicants still submit their applications on paper forms through the regular mail. In fact, in the Division's regulatory program, anyone submitting an application for an individual or agency license must submit the application on a paper form. Unfortunately, the Division's statistical studies show that roughly 20-25% of all applications submitted on paper have some sort of deficiency (an error or an omission) that requires follow-up with the applicant to correct these deficiencies. (By contrast, applications submitted electronically have a deficiency rate of 4-7%.) This, of course, requires multiple contacts with the applicant, thus delaying license issuance and increasing costs. The Division has made it a priority to initiate efforts to increase this online registration percentage and process automation. This has proven difficult as the current maintenance cost of all of these various licensing systems is approximately \$258 thousand per year, and with the Division running on an old, 32-bit Windows 7 OS, they are constrained as to the level of required maintenance they need to uphold current capabilities. As a result, the annual systems maintenance costs could significantly increase given the system's expiring support. Moreover, in regulating the large volume of licenses, the DoL had stated that the internal productivity of their 280-person workforce would increase through the assimilation of all of their licensing systems in that all historical, demographic, and license standing data would be available under one domain, as opposed to their current method of searching for this information within multiple systems.

In handling the revenue collection and processing, disbursement, and human resources for FDACS, DoA also handles and tracks all account and administration actions, which requires regulatory processing and they are stored in the Agency Clerk application. DoA currently uses the Revenue Receipts Accounting System (REV) System as their primary revenue collection system, where the details of manual and online payments are recorded. Revenue Online Collection (ROC) System is for the public to make online payments and upload multiple supporting documents at a time. The DoL uses ROC solely for renewals. DoA also uses an e-Commerce Reporting System (EGC) that assists with reconciliation and billing. However, these systems operate on separate platforms, and as a result, there is a multitude of manual payments and manual revenue validation processes that must occur. These processes are further compounded by the daily batching and transfer of reconciliation reports with FLAIR.

From an enterprise perspective, the Department's regulatory charge encompasses the issuance of licenses, permits, registrations, authorizations, and certifications as well as efforts to assist businesses and individuals with maintaining compliance with laws and regulations. The missions of the Divisions and Offices are diverse and so are the applications and systems that support them. For example, the Divisions and Offices require applications and systems to support water quality best management practices, citrus disease identification and control, testing for chemical residue in food, fair ride safety, petroleum product integrity, tracking the health of farm animals, and issuance of concealed weapons licenses.

Thirteen of the Department's twenty-four Divisions and Offices directly manage regulatory programs, with approximately 2,500 of the Department's 3,600 employees performing a regulatory function. The regulatory application portfolio itself contains 68 applications. The Department's Regulatory Application Portfolio Profile is included as Appendix B: Master Regulatory Systems and Programs Document providing information about each application that plays an important regulatory support role. The composition of the application portfolio ranges from legacy systems nearing the end of life to systems that have been recently deployed. The systems range from large-scale web applications to a collection of single purpose Microsoft Access databases. The portfolio includes custom applications, COTS solutions, and significantly customized COTS solutions. These applications provide varied functionality that includes, but is not limited to, the following:

- Applicant/Registrant Tracking
- Geographic Information System (GIS) Mapping
- Document Management Integration
- Mobile Inspections and Customer Access
- Case Management

The current application portfolio displays a disjointed functionality that could be leveraged at an enterprise level to improve business processes. For example, various regulatory business programs require document imaging functionality. However, the current application portfolio restricts access to documents within the program area in certain instances. In other instances, business programs use stand-alone imaging systems that do not interact with the primary regulatory application while other program areas lack access to imaging functionality.

Many programs experience similar problems with respect to case management functionality. Numerous regulatory areas do not have case management functionality, which results in information being transferred through manual delivery of file folders. These Divisions and Offices would benefit from a true enterprise case management system, allowing an incident to be tracked from inception to resolution - even across Divisions.

For more details on each individual system, refer to Appendix L: Portfolio Analysis, Section 3 Market Trends and Offerings, and Appendix B: Master Regulatory Systems and Programs Document.

#### *b. Current system resource requirements*

The current system software and hardware requirements are documented in Appendix L: Portfolio Analysis, Section 3.6. The cost/availability of maintenance or service for existing system hardware and software is outlined in Appendix L: Portfolio Analysis, Section 3.1.1 Hardware and Software Cost. Appendix F: Cost Model Document provides further insight into future maintenance and support costs, as well as key staffing requirements.

#### *c. Current system performance*

As stated above, FDACS has 68 systems supporting regulatory and licensing functions across its Divisions.<sup>18</sup> The current system environment includes:

- 80% custom solutions and 20% COTS solutions with varying customization
- 12 systems support multiple regulatory types (certification, license, permit and registration)
- 29 support a single regulatory function

A detailed list of each Division's Regulatory Systems and Programs, as well as their processing volume, documentation, profile, and platforms can be found in Appendix B: Master Regulatory Systems and Programs Document.

While many Divisions have similar processes, each Division executes those processes differently. For example, many program areas include inspections, but the process of documenting inspections ranges from a handwritten process to using a mobile software solution. Having so many disparate systems and processes comes with inherent risk and issues. In the spring of 2013, the Office of Agriculture Technology Services (OATS) conducted an analysis of data structures used in some of the Department's applications and found that inspection information existed in 166 different locations, the label "address" in 158, and "name" in 472.

With multiple systems on various platforms, and differing maintenance, support, and end-of-life structures, the Department is currently at capacity in meeting the minimal requirements of each Division's application portfolio. In this current state, there are no operational efficiencies to be gained.

Additional information regarding the issues and challenges of the current system's performance can be found in Appendix L: Portfolio Analysis, Section 3.4 Issues and Challenges.

## **2. Information Technology Standards**

FDACS currently has numerous technology standards in place, and they are constantly being updated. As the Agency for State Technology (AST) standards are defined, FDACS and the AgCSS Project will adhere to those standards. There are no current Department specified standards or policies that specify service levels and/or

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<sup>18</sup> Includes some modules within the total system count.

performance requirements that have or may affect the project.

## B. Current Hardware and/or Software Inventory

*NOTE: Current customers of the state data center would obtain this information from the data center.*

To maintain the current systems, the Department maintains a majority of the hardware and software environments centrally at the Office of Agriculture Technology Services (OATS). Some are maintained by the Division or Office that owns the system. The current Department application portfolio has significant limitations including those outlined above in Section A.1.c. Detailed information regarding the specific hardware and software of the Department, as well as their initial and yearly support costs can be found in Appendix L: Portfolio Analysis, Section 3.1.1 Hardware and Software Costs. It is important to note that additional annual hardware and software costs will be incurred for the project planning, onboarding, and implementation of a new AgCSS system.

In addition to the hardware and software identified in the Portfolio Analysis, the Department created several documents during the Pre-DDI phase to ensure that the future system possesses all of the functionality, capacity, and operability of the current system. These documents include the following:

- Appendix E: Requirements Traceability Verification Matrix: This document identifies over 1,000 functional and non-functional requirements for the procurement of the new system.
- Appendix M: Data Assessment, Master Data Management Plan: This document provides an assessment of the Department's readiness to adopt an enterprise data solution. The two assessment sections in this document cover the assessment of the AgCSS enterprise data (Data Assessment) and the assessment of enterprise procedures (Enterprise Process Assessment) required to transition to and sustain the enterprise data.
- Appendix N: Data Conversion Migration Plan: This document, which covers both application and data migration, provides specific recommendations for data preparation and conversion/migration.
- Appendix O: Interface Assessment Implementation Plan: This document catalogs the various interfaces used by the Department and provides recommendations on interface development and testing strategies for use by the system integrators.

It should also be noted that the Department has purchased an Informatica data tool for data analysis, cleanup and planned Extract, Transform, Load (ETL) effort for the implementation of the AgCSS.

## C. Proposed Solution Description

### 1. Summary description of proposed system

The proposed GCOM solution, Accela, is a modern enterprise COTS regulatory system with the capability to manage the application, renewal and enforcement of the various licensing and permitting functions of the Florida Department of Agriculture and Consumer Services. The scope and key functionalities of the solution include:

- Case Management and Customer Relationship Management (CRM)
- Financials/e-Commerce/Revenue Management
- Business Intelligence
- Workforce Management
- Mobile Work Force
- Public Self-Service Capabilities
- Licensing and Permitting
- Geospatial Mapping
- Document Management

The GCOM AgCSS solution uses the leading COTS enterprise regulatory solution, Accela Civic Platform, as the core AgCSS business, technical and data services technology component. Accela provides a technology platform that supports simple and complex regulatory processes for over 3,000 different credential types offered by 2,200 agencies worldwide.

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The Table below summarizes key features and benefits of the GCOM Accela Solution:

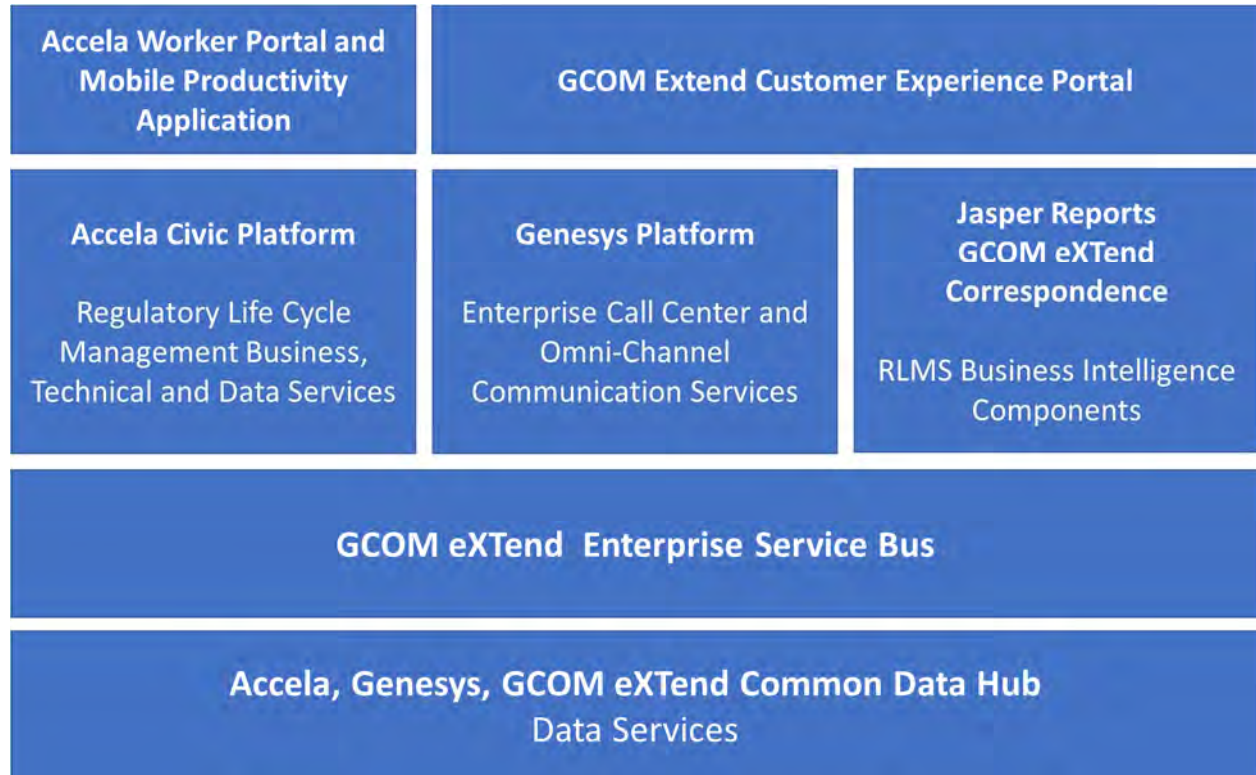
KEY PROCESS	ACCELA FEATURES AND BENEFITS TO AUTOMATE AND STANDARDIZE KEY PROCESS
<b>Intake</b>	<p>Accela offers a configurable platform to automate the FDACS AgCSS Intake Process. Our platform supports self-service, office counter and mail-in application intake. Numerous applications can be configured to support each specific FDACS regulatory process and their application specific business rules and workflows. Application intake processes can be configured to accept one or more pertinent documents in nearly all standard file formats; with each document type having a specific workflow that is tied to the master application work flow. Manual or automated application requirements can be implemented to capture and validate FDACS requirements such as finger print checks and education requirements.</p> <p>Critical to the AgCSS system and the intake process is a standardized approach to AgCSS master data and account management. Accela enables a flexible approach to establishing system user accounts and linking accounts to master data such as individual and business entities, and address masters. Once a user establishes a user account and contact information in Accela, the user's subsequent applications, inspection and compliance activities are linked which enables 360-degree customer views.</p> <p>Through its agent functionality, Accela can be configured to support third party agents such as "FDACS Tax Assessors" and enabling them to perform application and associated transactions from either the self-service citizen portal and/or the worker portal depending on the level of transaction and case management processing required.</p>
<b>Fiscal</b>	<p>Accela is configured out of the box to support online full or partial payments, counter payments and/or mail-in payments. The system can be configured to accept fee schedules and payment rules specific to each regulatory transaction type. Fee adjustments associated with application amendments and adjudications are calculated, communicated and processed by Accela as per configured payment rules. Workflows and payment processing related to refunds and cancellations are automated.</p> <p>The approach to fiscal processing includes design and development of the payment and fiscal reconciliation processes and interfaces with Bank of America and the FDACS financial management systems. Our fiscal configuration includes provision for cost allocation.</p>
<b>Verification, Research &amp; Resolve</b>	<p>Verification, research and resolve features and functions are delivered through the Accela Worker Portal case management facilities including but not limited to:</p> <ul style="list-style-type: none"> <li>✓ A full-text global search tool allows for single or multi-term search criteria and returns the search results into logical categories for easy review by FDACS users. This enables FDACS end users to quickly locate the regulatory application and case files they need to process, verify and research.</li> <li>✓ Accela workflow management provides workers with individual and team task queues, visual indicators for aging assignments, configurable record and document based workflow and status tracking to pick up next prioritized tasks and assignments.</li> <li>✓ Task assignments are managed in three ways: process automation based on business rules, manual supervisor to worker task assignments and team based worker queues. Once a worker opens a task, features such as case notes, case documents, and manually trigger work flow events (status changes or new subordinate case workflow processes such as inspections and investigations) can be triggered.</li> <li>✓ Regulatory transactions can be configured with simple to complex workflows. Tasks embedded in the workflow can include manual or automated application lifecycle process verifications with data contained within the application. Workflow tasks can also be automated to validate application or other transaction data, based on the results of a real time or batch interface process such as address validation or a daily criminal history file from FDLE.</li> </ul>

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	<ul style="list-style-type: none"> <li>✓ Automated workflows and notifications can also be used to validate against documents/attachments compliance status relative to a regulatory transaction workflow status.</li> <li>✓ For high volume validation processes, real time or batch interfaces can be developed to validate application data with the outcome of the validation appended to the case as a case note and/or a workflow status or document status update.</li> </ul> <p>Coupled with access to case management records, AgCSS solution provides a number of tools to access data and information in real time. These include centralized and personalize Accela quick queries and smart charts, management reports and interactive visualizations – authorized FDACS end users receive access to robust data and information that can be used to make business decisions with consistent and easily retrieved data.</p>
<p><b>Investigation &amp; Inspections</b></p>	<p>Accela is at the forefront of software solutions enabling public agencies to automate their enforcement procedures related to complaint management, conducting inspections and investigations, issuing field notices and citations, holding hearings related to the abatement of regulatory non-compliance conditions and managing disciplinary actions.</p> <p>Enforcement tracking can be an activity tied to any relevant application, license or other case type. The solution provides the flexibility to accept and maintain all compliance and enforcement data. It can track enforcement related to a specific complaint, violation or other, or simply be its own process without being dependent on a specific case type.</p> <p>All enforcement cases can be linked in relationships to other cases – such as several complaints to one investigation, or to licenses. Accela workflows can be configured to initiate (and link) an investigation as a standalone process or part of a bigger process such as a new application submission.</p> <p>Inspection and Investigation Process can be managed and orchestrated in Accela. Accela Investigation Process provides the following capabilities.</p> <ul style="list-style-type: none"> <li>• Find and view investigations</li> <li>• Schedule and reschedule investigations</li> <li>• Complete, cancel, or delete investigations</li> <li>• Update investigations and manage file attachments</li> </ul> <p>In the case where inspections are part of a larger formalized field process, inspection results can be configured as workflow tasks so that information regarding when the inspection was conducted, by whom and with what results can be recorded in the solution.</p> <p>Inspection results form part of the solution audit trail and, accordingly, once an inspection result and commentary has been saved to the database, any changes or modifications made will be reflected as part of the audit trail data.</p>
<p><b>Complaints</b></p>	<p>Accela’s Civic Platform can be configured to deliver numerous services and information to the public that help agencies engage and build trust with their constituents, improving process efficiency, public safety through regulatory compliance, and, ultimately, internal and external stakeholder customer satisfaction.</p> <p>Complaint records are configured in Accela to enable multi-channel intake of complaints via call center interaction, back office worker or inspector entry and workflow event, as well as anonymous or authenticated public users.</p>
<p><b>Administrative Actions</b></p>	<p>The Accela Civic Platform is a records based system and is routinely configured to manage administrative actions and hearing records associated with the regulatory management lifecycle. The Accela Civic Platform features noted above, such as case management, related records, document management, workflow, business rules and appointment scheduling are configured to meet the needs of administrative action and hearing records. Accela’s role based security and audit trail logging helps to meet privacy and audit trail requirements.</p>



To support FDACS requirements for enterprise call center enablement, best in class user experience, and advanced data analytics GCOM will extend Accela with other industry leading technology components from Genesys, Jasper and the GCOM eXtend Line of Packaged Software Components. The figure below illustrates the COTS software packages that comprise the GCOM proposed AgCSS Solution.



**Exhibit VI-1: AgCSS COTS Software Solution**

The entire proposed AgCSS Functional Architecture can be seen in Exhibit VI-1. The new AgCSS functional ecosystem will include a robust Regulatory Management Platform as its **Core Licensing** component. This central case management component validates and tracks all licensing, permitting and enforcement activity within the Enterprise. This platform will also support the **Public Portal** Self-Service component of the solution. Self-Service functionality will include the ability of customers to use the website for **Maintenance** of their accounts, including changing passwords, modifying addresses or adding new account details. This component allows for the public user to apply or renew a license or permit, pay related fees or fines, and view status of their application. This function also allows for public search of licensed individuals and view their license status. The central case management solution also supports mobility for inspectors and investigators. The **Mobile Inspection** platform provides the functionality to remotely inspect and report on activities by entities licensed (or in process of getting licensed) and managed by the organization. It supports the scheduling, mapping and intelligent routing of inspection activities and provides the capability for electronic signature capture and digital content capture such as pictures and videos.

The solution supports several secondary functionality including a **Customer Relationship Management (CRM)** component that will enable call centers to access customer information more quickly, and will document previous interactions with each customer to support faster decision making, better personal information security, and reduce the incidence of fraud by providing the capability to perform automated predictive analytics.

An **Electronic Document Management System (EDMS)** supports the storage, management and federation of digital documentation. This digital documentation would include digitized supporting documentation, pictures, video and audio attachments. This component federates the content from the core Licensing platform and secondary sources. The **Geographic Information System (GIS)** provides the point and vector location services for the platform. It provides the capability for point display, support of geographic boundaries and the business rules associated with location profiles.

A robust **Reporting Layer** will be implemented to support operational and analytical reporting capabilities of the solution. This reporting layer utilizes a secondary data structure to support both configured and ad-hoc reporting functions within the overall solution platform.

The **Security Layer** is overarching and supports the shared single sign on authentication and user management as well as all necessary data security including encryption and audit trail across all underlying solution components. This layer supports the management of both public and private authentication into the system allowing for a consolidated and efficiently managed security infrastructure. Data security and privacy will be an integral, native function of the AgCSS solution, which will also comply with external security requirements, including the FBI CJIS security policy.

Within the **Integration Services** activity, the **Data Cleansing and Migration Tool** will enable information lifecycle management by automatically “cleansing” current databases before data migration into a new data system. Any data with errors it will be recognized and corrected before migration into a new database system, allowing for the migration process to run without getting caught on bad or out-of-date datatypes between the two database systems. An enterprise-focused, standardized approach to data cleansing, data migration, and master data management is absolutely necessary to ensure that the AgCSS delivers maximum value to the Department.

Overall risk to the data cleansing and migration effort is decreased by lessening the human interaction and leveraging a proven tool. The effort involves several critical steps supported by the types of tools recommended for the AgCSS project:

- Data Discovery and Classification – Identifying and understanding the business use of the data in the current environment
- Establishing Connectivity – Gaining access to the data, and establishing connections needed by the future system
- Data Cleansing - Analyzing the data and addressing data quality issues
- Iterate and Improve – Test on small data sets, get it right and iterate
- Normalizing – Get the data into the format needed by the new AgCSS
- Loading – Moving the data needed in the future processes to the AgCSS, and archiving other data
- Validating – Confirming data quality, security, and other expectations/requirements have been met

These tools will be utilized to reduce risk, facilitate data cleansing, and increase data quality throughout the

migration iterations and will also be used to perform the master data management required to maintain data quality once the data has been migrated into production.

## **2. Technical architecture description of proposed system**

The overall technical architecture of the solution includes the network, computer and storage infrastructure to support the functional architecture described above. The goal of the technical architecture is to support the stability, security and scalability of all primary and secondary components of the solution. The conceptual infrastructure presented will be on premise virtualized or on premise bare metal build-out in within a local data center.

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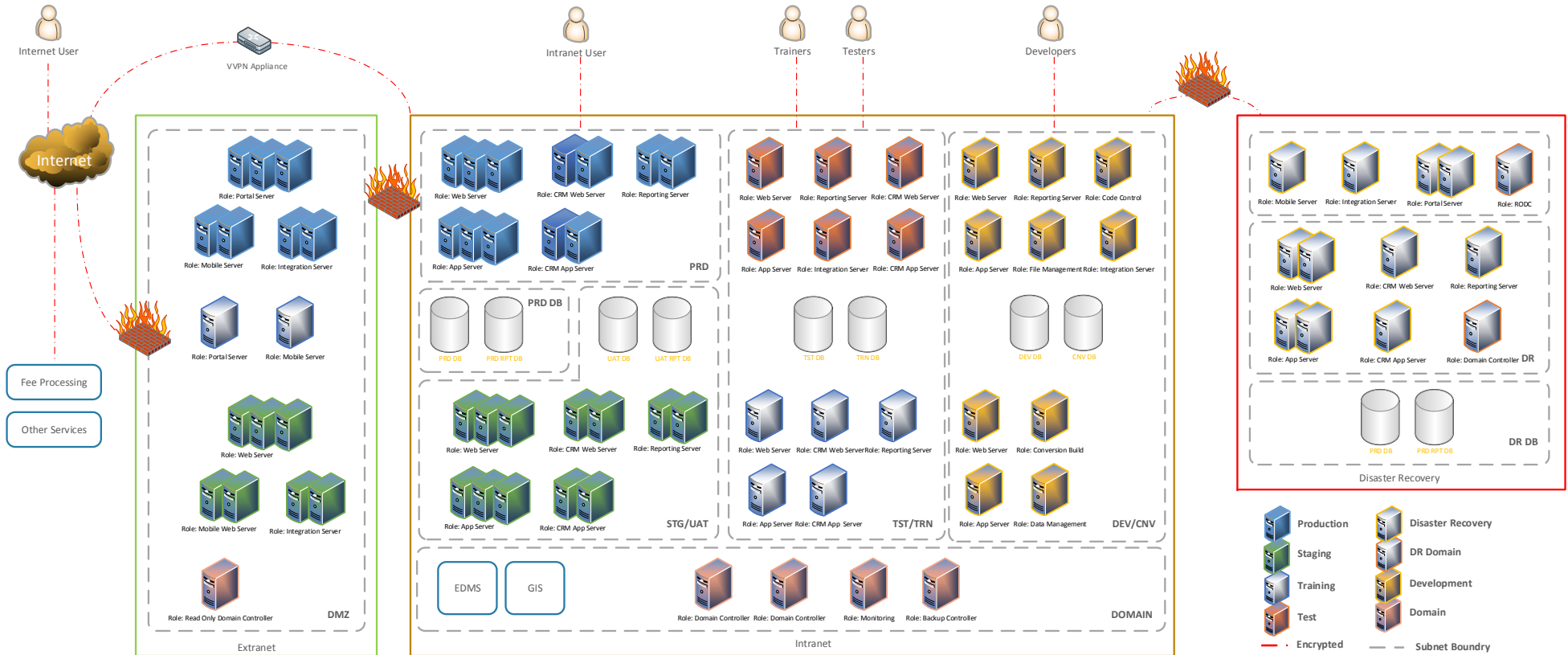


Exhibit VI-2: Conceptual Infrastructure Diagram of Hosted Solution

Access would be provided to AgCSS applications via traditional secured and encrypted HTTP (HTTPS) access through either the general internet, state intranet or Citrix client. A conceptual diagram is provided above in Exhibit VI-2: Conceptual Infrastructure Diagram of Hosted Solution. It represents anticipated servers, data bases, subnets and network boundaries. The diagram represents a potential technology infrastructure as the selected solution will drive the actual infrastructure needs.

The conceptual infrastructure illustrates the environment isolation and definition of the various technical environments that are anticipated in the delivery of the overall AgCSS solution. These environments include:

**Domain** – The domain environment supports the underlying and existing platform components such as authentication, network domain control, system monitoring and backup controllers.

**DEV/CNV** – Supports the development, configuration and unit testing of the core solution components, custom modules as required, system interface development, conversion programs and routines for the mapping and translation of legacy data.

**TST/TRN** – The Testing and Training environments support the system and integration testing of the overall functional components in the solution. The Training environment supports the delivery of training on the system components.

**STG/UAT** – The staging and user acceptance testing platform is a production mirror environment supporting the validation of pending releases, user acceptance of the pending release and performance validation of the solution prior to production release.

**PRD** – The production implementation of the solution.

**Disaster Recovery** – This environment provides the disaster recovery services to support the solution in the event of a catastrophic event or outage.

The Project Management Team will need to work closely with the Office of Policy and Budget (OPB) and the Agency for State Technology (AST) to ensure compliance with OPB and AST PM Standards.

### 3. Technical baseline requirements

**Reliability, Availability, and Serviceability and Data Loss Prevention:** The proposed system is architected to reflect uptimes by function according to industry standards. Investigation systems remain accessible 24/7 with built-in redundancy. Scheduled maintenance, patches, upgrades, and new release integration will require minimal time, effort, or downtime.

The system will provide industry standard safeguards to prevent loss of and ensure ongoing access to information.

**Interoperability and interface support:** The system is compliant with industry standards for interoperability. The solution supports the data formats currently in use by the Department.

**User access, account provisioning, and security:** The system supports online access for internal and external users, including residents. The accounts are compatible with Active Directory or Lightweight Directory Access Protocol (LDAP) provisioning services. The scope of access should be defined by user group and should support access to specific resident information according to staff responsibility and/or team assignment.

**Technical environment:** The system is web-based, uses the most current version of industry acceptable hardware and software, and relies on current industry standard coding/languages for programming. It is accessible to end users through the Department standard browser. For most inspection activities, the solution will require a mobile capability in many cases without a consistent connection.

**Device support:** The system provides comprehensive support for and compatibility with desktop and mobile devices, browsers, and associated operating systems. Full system functionality must be available with or without mobile device hardware.

### 4. Resource and summary level funding requirements for proposed solution

Resource requirements and summary level funding resource requirements for an enterprise regulatory system project are included in Appendix I: Cost Benefit Analysis Workbook. Further details surrounding the resource requirements

can be found in Appendix L: Portfolio Analysis, Section 3.1.1 Hardware and Software Cost., as well as Appendix A: Business Case, Section 4.3.1 Option Alignment to Goals and Objectives. Operating costs and staffing requirements are included in Appendix F: Cost Model Document.

### D. Capacity Planning (historical and current trends versus projected requirements)

The objective of Capacity Planning is to verify any proposed solution will be able to not only absorb the current data stores and transaction loads but also provide the capability to grow with the future demands of the Department. The selected option will handle a user base of the 280 Full-Time Employees (FTE) of DoL with the capability to grow to 400 when incorporating DoA's FTE, also supporting an annual user increase of 10% with no loss service levels to account for future growth.

Details surrounding the FDACS' capacity planning and requirement projections can be found in Appendix A: Business Case, Section 1.2. Having completed an initial analysis of the internal Department infrastructure and utilization, the resulting cost structure of the current systems in place continues to increase.

It is expected that as more Divisions roll onto the enterprise regulatory system that the volume of transactions and workloads will significantly increase in future years. FDACS has recently experienced a large influx of regulatory responsibilities that its workforce must manage in the recent past; this trend is expected to continue as evidenced by the DoL's historical and significant projected license growth in the next subsection.

This growth rate is just one example of many Divisions that are expanding in terms of regulatory administration and duties. These statistics are crucial in determining the efficiency rate of the Department's workforce. The following subsections illustrate the rise in Department regulatory responsibilities and the potential diminishing service to consumers and agricultural businesses operating in Florida if operational efficiencies were not increased.

#### *Division of Licensing Projection of Licensees and Required Staffing Growth*

As previously discussed, the Division of Licensing administers the concealed weapon licensing program as well as the business regulatory program that involves oversight of the private investigation, security, and recovery (repossession) industries. Over the last ten years, the average new concealed weapon license application volume increased by 18%. By contrast, the application volume in the business regulatory program has increased by only 2% annually on average during this time. This escalating demand for licenses has significantly inflated the population of license holders. In the past decade, the number of concealed weapon license holders increased from 438,864 at the end of FY 2006-07 to 1,784,395 at the end of FY 2016-17, while the number of individuals and agencies licensed in the business regulatory program increased from 143,308 to 176,001. The demand for licenses and the growth in the licensee population combine to impact the Division in two ways. First, the ongoing high demand for licenses – most particularly evident in the concealed weapon licensing program – requires that the Division allocate resources to ensure timely issuance of licenses. Second, because the Division has a statutorily mandated responsibility to ensure that license holders remain eligible for the duration of the valid term of their licenses, management has to devote resources for the monitoring and maintenance of the licensee population, a task that involves the routine review of criminal history records on the license holders. Discussions with Division staff confirm there are not available enhancements to their current systems and business practices which could be deployed to meet the expected future growth in license holders without increasing the number of FTEs.

Projecting a continued 7% annual growth rate in new license applications to future years and adjusting the projected actual renewals for the historical 65% renewal rate of eligible renewals,<sup>19</sup> would require an increase in DoL staffing levels as depicted in the following exhibit.

<sup>19</sup> Appendix A: Business Case, Section 1.2.3.3 Division of Licensing Projection of Licensees and Required Staffing Growth.

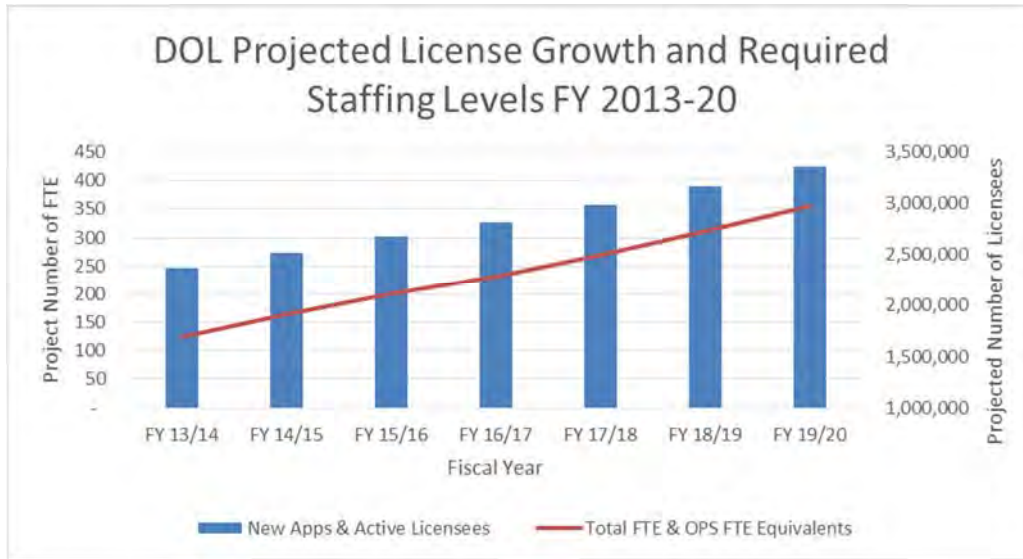


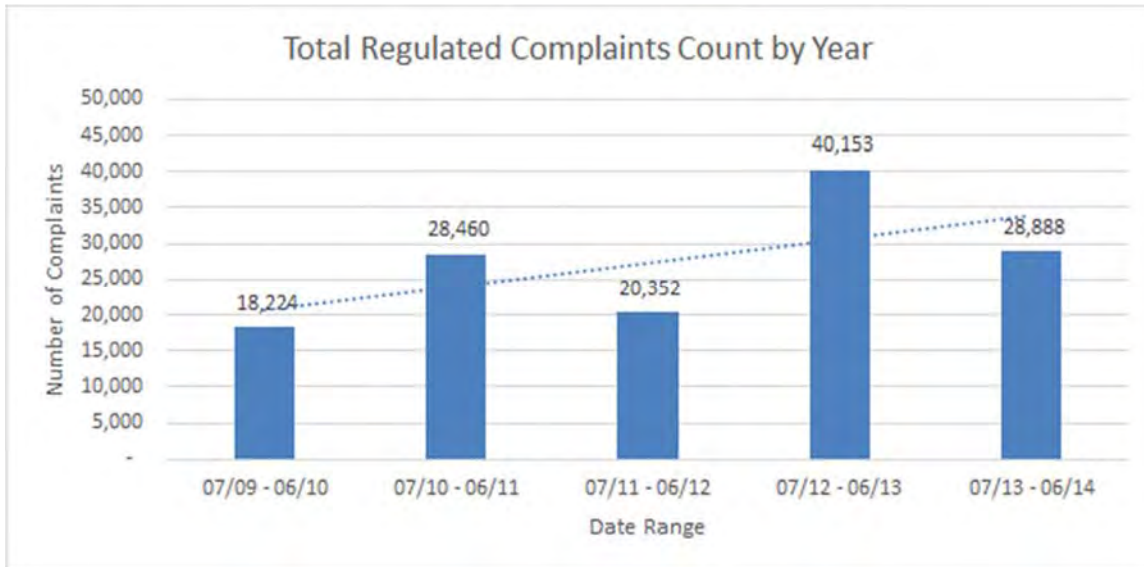
Exhibit VI-3: Projected Growth of DoL Licenses and Required Staffing 2013-2020

**Division of Licensing Increase in Concealed Weapons License Demand**

As discussed earlier in this document (see pages 11 and 12), the Division has had to deal with a significant increase in the demand for concealed weapons licenses in recent years. The concealed weapon licensing program is 30 years old in 2017. During the early years of the program, the Division saw slow but steady increases in the demand for concealed weapon licenses each year. That has dramatically changed in recent years. In the 10-year period from July 1, 2007, through June 30, 2017, the Division received more new concealed weapon license applications than in the 20 previous years dating from program implementation in 1987 through the end of FY 2006-7. Because of the dramatic increase in the number of applications received – particularly in 2008-2009, 2012-2013, 2015-2016, and 2016-2017 – the DoL often failed to meet the 90-day mark mandated by statute for the issuance of a license after receipt of an application.

**Division of Consumer Services Historical Year-to-Year Complaints against Regulated Entities**

A major regulatory responsibility of the Division of Consumer Services includes dealing with customer complaints. The Division of Consumer Services is responsible for management of complaints received by the Department, and must ensure that the complaints are evaluated, tracked, and resolved from origination to conclusion. Over the past five years, the number of complaints received has dramatically increased, thus causing higher workloads for employees. Since 2009, there has been a 24% average annual growth rate in complaints against regulated entities, and a 9% average annual growth rate in the total number of complaints received by FDACS. These numbers are supported by the exhibit below.



**Exhibit VI-4: FDACS Division of Consumer Services Regulatory Complaints from 2009-2014**

Additional figures surrounding the total number of complaints and unregulated complaints can be found in Appendix A: Business Case, Section 6.6. Further, specific types of FDACS regulated complaints such as No Sales Calls, Moving and Storage, and Fuel represent a few of the categories with the largest growth and are potential areas that would most benefit from an enterprise regulatory system.

It is evident that these are large complaint increases, and could overwhelm FDACS FTE in terms of the sheer volume of work needed to resolve these complaints, particularly in the case of Fuel where there happened to be a major incident that drastically impacted the Fuel industry. The Department’s goal is to address these areas of concern by instituting an intra-Division enterprise regulatory interface that will enhance communication within the Department and with its customers, eliminate redundant data and business processes, and increase operational efficiencies.

***FDACS Historical Full-Time Workforce vs. Budget***

In comparing the current full-time employee (FTE) workforce of FDACS with the Department’s annual budget, there has been a steady annual increase of approximately 5.4% per year in appropriations for the Department. This 109% total budget growth is a result of the rising FTE regulatory workloads, as displayed in the exhibit below.



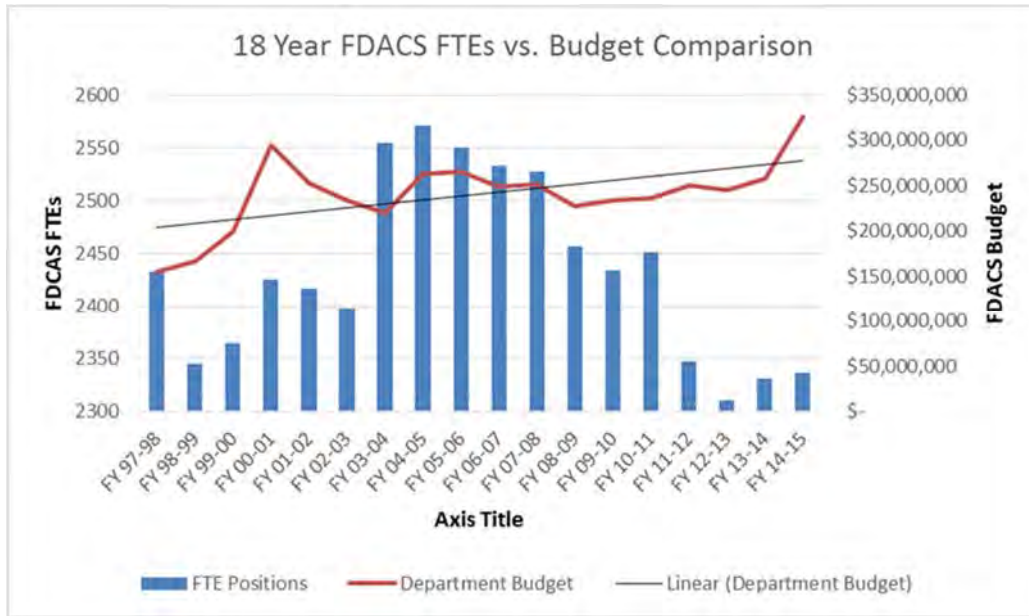


Exhibit VI-5: 18 Year Comparison of FDACS Full-Time Employees vs. Department Budget

In the following two exhibits, from both the 5 and 10-year perspective for year-to-year percent change in FTE and Budget, there is a marked gap of 27% increase between FDACS' Budget and number of FTE's; a statistic that is continuing to grow due to the increasing volume of regulatory duties. As such, there is a strong need to close this growing gap between the appropriations and workforce by increasing the efficiency of the FTEs. The process and data standardization elements of a regulatory system implementation would help to accomplish this goal in allowing for greater workload efficiencies for the FTE of FDACS.

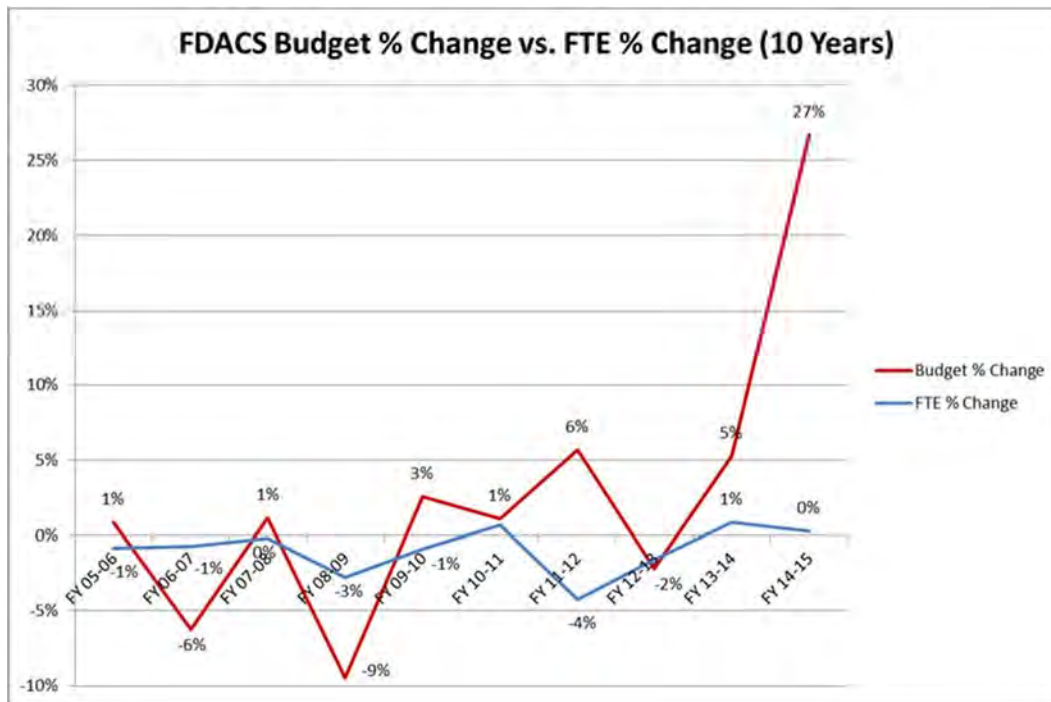


Exhibit VI-6: Comparison of FDACS' Budget and FTE Year-to-Year Percent Change (10 Years)

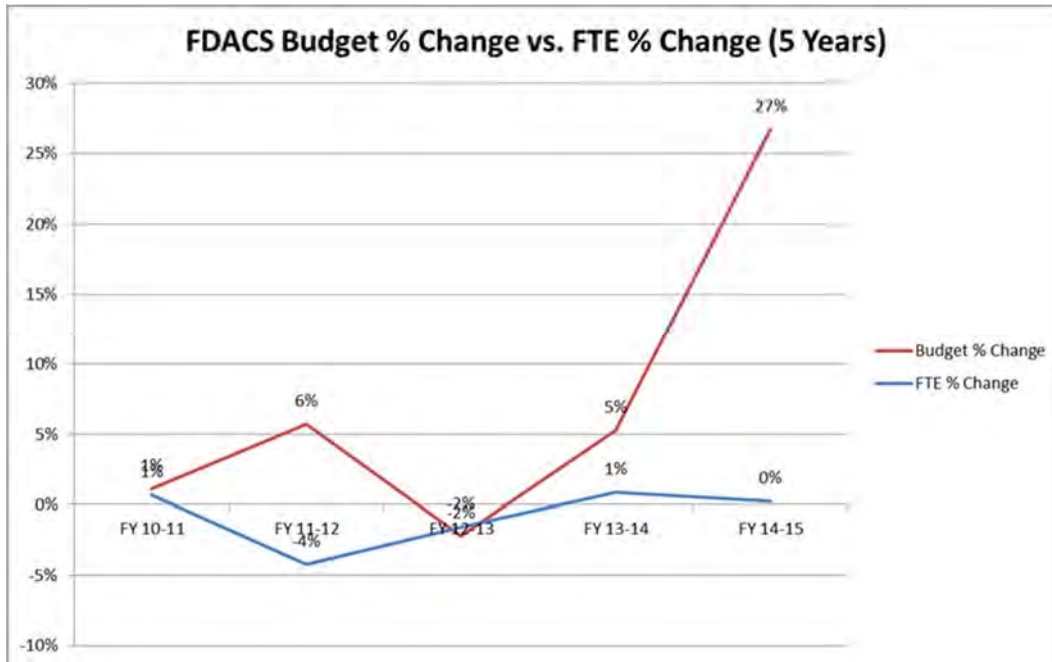


Exhibit VI-7: Comparison of FDACS' Budget and FTE Year-to-Year Percent Change (5 Years)

Additional details surrounding the FDACS' capacity planning and requirement projections can be found in Appendix A: Business Case, Section 1.2.

## 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.*

The AgCSS Project Management Office (PMO) has published two key documents that will serve as guideposts for all subsequent project activities in connection with the development of the AgCSS. These documents included are:

- Appendix P: Project Charter: This deliverable is the primary document in which the foundational core principles and guidelines that will guide the project are identified and elaborated.
- Appendix Q: Project Management Plan (PMP): This document is a comprehensive project plan that includes project development and management processes consistent with Project Management Institute (PMI) and Florida AST standards, and with Department standards for complex systems development projects.

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

The Department has successfully performed several large, complex information technology projects using sound project management principals. The project management and planning for the AgCSS project will follow the same guiding principles, in addition to the AST guidelines, which have been used to successfully manage and deliver projects in the past. Now, with a successfully procured solution and executed contract, the Systems Integrator, AgCSS PMO, FDACS project management staff, and the IV&V consultant will complete a full review of the charter, PMP, and supporting materials. Subsequent updates during the review and revision to the project management documents and plans will allow FDACS to ensure success and further minimize risk to the project by leveraging past successes of the system integrator.

*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.*

### A. Project Schedule

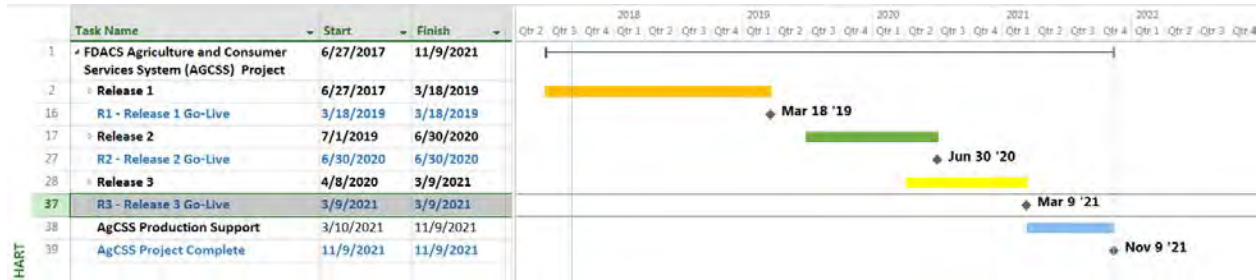
The development of the actual detailed project schedule will be the responsibility of the FDACS project manager and implementation vendor(s). The Gantt chart in *Exhibit VII-9 - AgCSS Project Summary Schedule* and *Exhibit VI-7nd* the project schedule in **Error! Reference source not found. Exhibit VII-10 - AgCSS Project Detail Release Schedule** represent the high-level activities and tasks for the project from Project Preparation phase through Solution maintenance phase. The table in *Exhibit VII-8 - AgCSS Procurement Phase Complete***Error! Reference source not found.** shows the completion of the procurement activities in the Procurement phase of the project.

Task Name	Start/Complete
<b>AgCSS Project Schedule – Release 1</b>	
<b>FY 2015-16</b>	
MILESTONE - Post ITN on the Vendor Bid System	Complete
MILESTONE - Close System and Data Strategy Contracts	Complete
MILESTONE - Post Proposal Opening to Vendor Bid System	Complete
MILESTONE - Post Evaluation Committee Public Meeting to the Vendor Bid System	Complete

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Task Name	Start/Complete
<b>FY 2016-17</b>	
MILESTONE - Submit all Evaluation Scores to FDACS Purchasing	Complete
MILESTONE - Post Invitation to Negotiate to Selected Vendors	Complete
MILESTONE - Post BAFO Instructions	Complete
MILESTONE - Receive BAFO from Vendors	Complete
MILESTONE - Announce Recommended Award & Post Public Letter of Intent to Award	Complete
MILESTONE - Issue AgCSS Vendor PO	Complete

**Exhibit VII-8 - AgCSS Procurement Phase Complete**



**Exhibit VII-9 - AgCSS Project Summary Schedule**

Task Name	Start	Finish
<b>FDACS Agriculture and Consumer Services System (AgCSS) Project</b>	<b>6/27/2017</b>	<b>12/7/2021</b>
<b>Release 1</b>	<b>6/27/2017</b>	<b>3/18/2019</b>
R1 - Contract/SOW Executed	6/27/2017	6/28/2017
R1 - Accela Software License Purchase	6/30/2017	7/4/2017
R1 - Project Start Date – DDI onboarding begins	7/10/2017	7/12/2017
R1 - Project Planning	7/10/2017	9/1/2017
R1 - Assess	9/4/2017	11/27/2017
R1 - System Level Design, Global Configuration, Prototype Records	10/30/2017	1/22/2018
R1 - Conduct Configuration Sprints	12/25/2017	9/3/2018
R1 – Conduct Configuration Sprints - System Test	3/19/2018	10/1/2018
R1 - Implementation & Deployment - Operational Readiness	8/6/2018	10/29/2018
R1 - Implementation & Deployment - Training and OCM (Super Users)	9/3/2018	10/1/2018
R1 - Implementation & Deployment - UAT	10/1/2018	12/24/2018
R1 - Implementation & Deployment - Training and OCM (End Users)	12/24/2018	2/18/2019
R1 -Implementation & Deployment - Deployment	1/21/2019	3/18/2019
<b>R1 - Release 1 Go-Live</b>	<b>3/18/2019</b>	<b>3/18/2019</b>
<b>Release 2</b>	<b>7/1/2019</b>	<b>6/30/2020</b>
<b>Release 2 Start</b>	<b>7/1/2019</b>	<b>7/1/2019</b>
R2 - Plan and Assess	7/1/2019	8/9/2019
R2 - System Level Design, Global Configuration, and Prototype Records	8/12/2019	10/4/2019
R2 - Configuration Sprints	9/9/2019	2/21/2020
R2 - Configuration Sprints - System Test	12/30/2019	4/3/2020

SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AgCSS) UPDATE

R2 - Implementation & Deployment - UAT	4/6/2020	5/5/2020
R2 - Implementation & Deployment - Operational Readiness	4/6/2020	5/5/2020
R2 - Implementation & Deployment - Training and OCM Execution	5/6/2020	6/2/2020
R2 - Implementation & Deployment - Deployment	6/8/2020	6/30/2020
<b>R2 - Release 2 Go-Live</b>	<b>6/30/2020</b>	<b>6/30/2020</b>
<b>Release 3</b>	<b>4/8/2020</b>	<b>3/9/2021</b>
R3 - Plan and Assess	4/8/2020	5/5/2020
R3 - System Level Design, Global Configuration, and Prototype Records	5/6/2020	6/2/2020
R3 - Configuration Sprints	5/6/2020	9/8/2020
R3 - Configuration Sprints - System Test	7/15/2020	12/11/2020
R3 - Implementation & Deployment - UAT	12/14/2020	1/8/2021
R3 - Implementation & Deployment - Operational Readiness	12/14/2020	1/8/2021
R3 - Implementation & Deployment - Training and OCM Execution	1/11/2021	2/8/2021
R3 - Implementation & Deployment - Deployment	2/9/2021	3/9/2021
<b>R3 - Release 3 Go-Live</b>	<b>3/9/2021</b>	<b>3/9/2021</b>
<b>AgCSS Production Support</b>	3/10/2021	11/9/2021
<b>AgCSS Project Complete</b>	<b>11/9/2021</b>	<b>11/9/2021</b>

Exhibit VII-10 - AgCSS Project Detail Release Schedule

## B. Project Organization

The FDACS Project Manager heads the Project Management Team (PMT). The Systems Integrator Lead (or Project Manager) is a part of the PMT, which includes the FDACS Project Manager and the OCM/WFT Lead. This team will be responsible for day-to-day oversight of the project. In addition, the Project Management Team will work closely with the PPMO and the Agency for State Technology (AST) to ensure that sufficient external project oversight is established and maintained and to ensure compliance with PPMO and AST PM Standards. The FDACS Project Manager manages the Project Management Office (PMO) for the project.

For a project of this size and duration, the Department has implemented the PMT, reporting to the PPMO Manager to maintain and execute project management plans, monitor project issues and risks, manage the project schedule as well as all project management activities, and processes. The PMT and PMO staff will be staffed with multiple Certified Project Management Professionals (PMPs).

The project business stakeholders include seasoned FDACS staff from core business areas. These key stakeholders will be instrumental in the design, development and testing of the new AgCSS system and will assist in the review and approval of all project deliverables. The proposed project organization is illustrated in Exhibit VII-11.

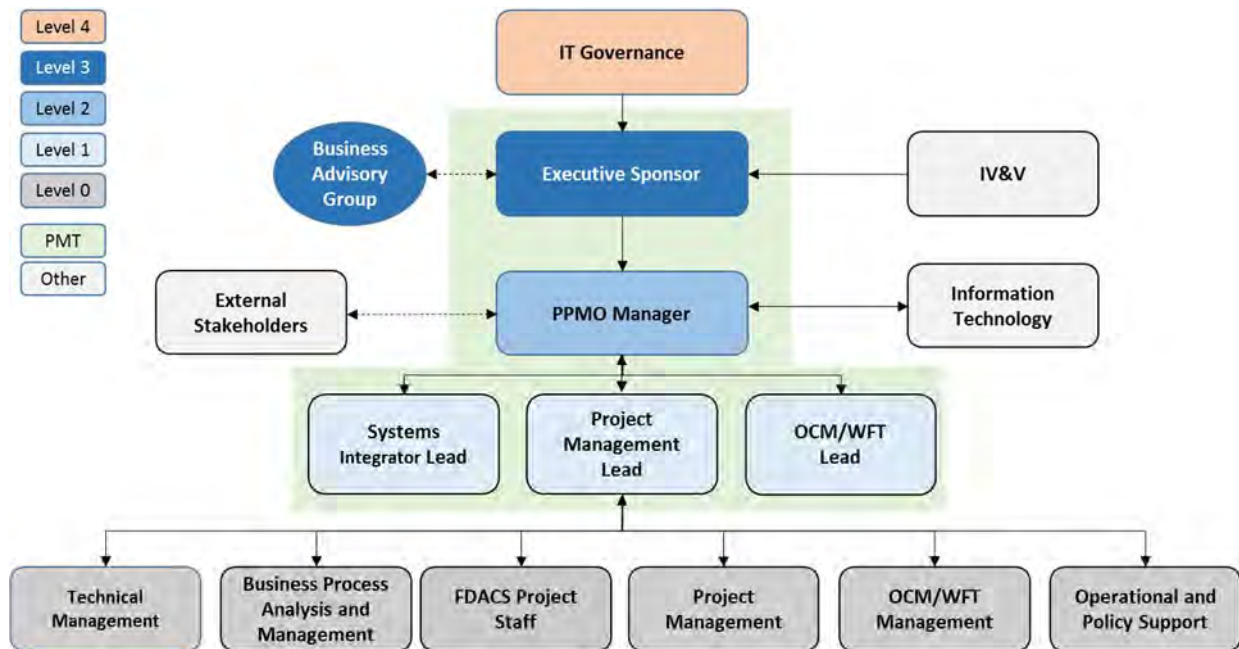


Exhibit VII-11: Proposed Project Organization

Exhibit VII-12 identifies roles in the project organization and a summary of their responsibilities.

Role Name	Description	Assigned To
IT Governance Team	<ul style="list-style-type: none"> <li>Provides executive oversight to the project</li> <li>Establishes and supports the project vision and strategic direction</li> <li>Resolves escalated issues</li> <li>Provides timely final decision on escalated items</li> </ul>	<ul style="list-style-type: none"> <li>Chief of Staff</li> <li>Deputy Commissioners</li> <li>Office of Policy and Budget</li> <li>Legislative Affairs Director</li> <li>Inspector General</li> </ul>

**SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AGCSS) UPDATE**

Role Name	Description	Assigned To
IV&V Manager	<ul style="list-style-type: none"> <li>▪ Verifies that the system is developed in accordance with validated requirements and design specifications</li> <li>▪ Validates that the system performs its functions satisfactorily</li> <li>▪ Monitors project management processes and provides feedback on any deficiencies noted</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Presents to Executive Management team on IV&amp;V activities</li> </ul>	<ul style="list-style-type: none"> <li>▪ IV&amp;V Vendor</li> </ul>
Executive Sponsor	<ul style="list-style-type: none"> <li>▪ Has programmatic decision making authority</li> <li>▪ Champions the project within the customer’s organization</li> <li>▪ Provides guidance on overall strategic direction</li> <li>▪ Provides business resources for project success</li> <li>▪ Has Programmatic responsibility for successful development and implementation of the project</li> <li>▪ Facilitates communication with the Executive Management Team (EMT)</li> <li>▪ Has IT decision-making authority</li> <li>▪ Champions the project within the customer’s organization</li> <li>▪ Provides guidance on overall strategic direction</li> <li>▪ Provides IT resources for project success</li> <li>▪ Has responsibility for successful development and implementation of the project</li> <li>▪ Facilitates communication with the EMT</li> </ul>	FDACS- Chief Information Officer
PPMO Manager	<ul style="list-style-type: none"> <li>▪ Has IT decision-making authority</li> <li>▪ Coordinates/Identifies business resources</li> <li>▪ Controls Project budget</li> <li>▪ Provides business resources for project success</li> <li>▪ Provides IT resources for project success</li> <li>▪ Has responsibility for successful development and implementation of the Project</li> <li>▪ Oversees the development and implementation of the Project</li> <li>▪ Oversees the Project Management Office for the Project</li> <li>▪ Liaises with department (e.g., Information Technology, Business)</li> <li>▪ Liaises with Project Business Sponsor for business resources and day-to-day activities</li> <li>▪ Liaises with the Legislature as needed</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS PPMO Manager</li> </ul>

**SCHEDULE IV-B FOR FDACS AGRICULTURE AND CONSUMER SERVICES SYSTEM (AgCSS) UPDATE**

Role Name	Description	Assigned To
FDACS AgCSS Project Management Lead	<ul style="list-style-type: none"> <li>▪ Responsible for day-to-day project oversight</li> <li>▪ Provides overall guidance and direction to the Systems Integrator</li> <li>▪ Coordinates with the PPMO Manager for resources</li> <li>▪ Works with Systems Integrator Project Manager to ensure stakeholder needs are met</li> <li>▪ Has daily decision-making authority</li> <li>▪ Oversees and manages project plan</li> <li>▪ Facilitates the Business Advisory Group</li> <li>▪ Coordinates project resources, budgets and contract management</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Responsible for project management areas including scope, risk, quality and change control</li> <li>▪ Coordinates project status communications</li> </ul>	FDACS AgCSS Project Management Lead
Business Advisory Group	<ul style="list-style-type: none"> <li>▪ Responsible for input on functional requirements</li> <li>▪ Participates in project user group meetings and sessions</li> <li>▪ Provides input on project activities</li> <li>▪ Reviews and comments on project documents and deliverables</li> <li>▪ Disseminates project information and updates to local internal/external stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Bureau Chiefs – Licensing and Administration</li> </ul>
Project Teams	<ul style="list-style-type: none"> <li>▪ Identifies and communicates project risks, issues, action items, decisions</li> <li>▪ Creates deliverables</li> <li>▪ Participates in risk/issue response plans</li> </ul>	<ul style="list-style-type: none"> <li>▪ Team Resources and Leads</li> </ul>
External Stakeholders	<ul style="list-style-type: none"> <li>▪ Shares input with the Project Management Team on system and issues</li> <li>▪ May be involved in Executive oversight</li> <li>▪ Receives communication from the PMT</li> <li>▪ Affected by the Project</li> </ul>	<ul style="list-style-type: none"> <li>▪ Constituents</li> <li>▪ Legislature</li> <li>▪ Agency for State Technology</li> <li>▪ Florida Department of Law Enforcement</li> </ul>
Information Technology	<ul style="list-style-type: none"> <li>▪ Responsible for technical resources requested by PMT</li> <li>▪ Impacted by the Project</li> <li>▪ Receives communication from the PMT</li> <li>▪ May be involved in risk response planning</li> <li>▪ Sets technical and security requirements/standards</li> </ul>	<ul style="list-style-type: none"> <li>▪ Chief – Agriculture Management Information Systems</li> </ul>
Systems Integrator Lead	<ul style="list-style-type: none"> <li>▪ Responsible for day-to-day oversight of individual Teams</li> <li>▪ Has daily decision-making authority</li> <li>▪ Oversees and manages individual project plan</li> <li>▪ Coordinates individual project resources,</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Responsible for project management areas including scope, risk, quality and change control</li> <li>▪ Coordinates project status communications to FDACS AgCSS PMO</li> </ul>	<ul style="list-style-type: none"> <li>▪ Systems Integrator Project Manager</li> </ul>



Role Name	Description	Assigned To
OCM/WFT Lead	<ul style="list-style-type: none"> <li>Responsible for day-to-day oversight of OCM/WFT Team</li> <li>Has daily decision-making authority</li> <li>Reviews and provides feedback on project deliverables</li> <li>Coordinates project status communications to FDACS AgCSS PMO</li> </ul>	<ul style="list-style-type: none"> <li>OCM/WFT Lead</li> </ul>
Other Project Management Leads	<ul style="list-style-type: none"> <li>Responsible for day-to-day oversight of Systems Integrator Teams</li> <li>Has daily decision-making authority</li> <li>Oversees and manages individual project plan for Systems Integrator activities</li> <li>Coordinates individual project resources,</li> <li>Reviews and provides feedback on project deliverables</li> <li>Responsible for project management areas including scope, risk, quality and change control</li> <li>Coordinates project status communications to FDACS AgCSS PMO</li> </ul>	<ul style="list-style-type: none"> <li>Other Project Managers</li> </ul>

Exhibit VII-12: Project Organization Members - Roles & Descriptions

### C. Project Quality Assurance

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

The project will follow the PMO guidelines delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the project Deliverables Expectation Document (DED). 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 FDACS AgCSS System will follow FDACS’s programming and development standards.
Testing Management	The vendor will follow the established standards of the FDACS 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 as identified in the DED
Software Configuration Management	If applicable, the vendor will follow the established standards of the FDACS IT for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
Contract Management	The FDACS AgCSS Contract Manager will be involved in contract management for the project. All contracts must pass executive and legal approval.

Exhibit VII-13: Quality Standards by Project Area

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

project:

- Peer reviews of artifacts
- Project team acceptance and approval
- Periodic project team meetings
- Project status meetings
- Periodic contractor, contract manager, project manager and project team meetings
- Change control management processes, including the creation of a change review and control board that provides representation for all affected stakeholders
- Robust requirements traceability processes
- Contract manager and FDACS Project Manager acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Defined test plan with standard levels of technical and acceptance testing, to include business unit involvement in both planning for and participation in user acceptance testing.
- Risk Management and Mitigation

Quality will be monitored throughout the project by the PMO. Multiple levels of acceptance by all stakeholders will be built into the process to ensure project quality control. Additional details on the Quality Management Plan can be found in Appendix Q: Project Management Plan.

#### D. External Project Oversight

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

Since the implementation of the Pre-DDI phase in early FY 2016-17, the AgCSS project has been operating under the scrutiny of an Independent Verification and Validation (IV&V) vendor. The purpose of IV&V is to provide an objective, unbiased review and assessment of the project to help ensure it is meeting its desired goals and adheres to internally documented or recognized industry standards and guidelines. IV&V will also verify that products or deliverables meet the stated requirements and are of high quality, that appropriate controls are defined and utilized, and that the stakeholders in the process are effectively involved and aligned.

IV&V oversight will remain in place throughout the life of the project. The specific ongoing objectives of the IV&V effort for this project will include:

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

In addition, the FDACS Project Management Team and IV&V vendor team will work closely with the PPMO to ensure that sufficient external project oversight is established and maintained.

#### E. Risk Management

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

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

The project management methodology chosen for this project will include processes, templates, and procedures for documenting and mitigating risk. Formal risk analysis, tracking and mitigation will be ongoing throughout all phases of the project. Risks are actively identified, detailed, and prioritized. Mitigation strategies are developed. Risks are tracked, mitigated and closed throughout the project lifecycle.

**Risk Management Plan**

All phases of the project will follow the standards defined by the 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 project lifecycle.

A Risk Management Plan (RMP) was developed during the FY 2015-16 Pre-DDI phase and is included as part of the Appendix Q: Project Management Plan. This RMP, which includes clearly outlined risk management procedures, standard checkpoints, and integration strategies, will be adhered to throughout all phases of the project. Execution of a well-defined RMP with clear risk response strategies for each risk is critical to the success of the FDACS AgCSS. The purpose of risk management is to identify the risk factors for the project and establish a risk management plan to minimize the probability that the risk will negatively affect the project. It is recommended that the following checkpoints in Exhibit VII-14 be followed during the project:

Task	Recommendation
Risk Management Plan	Have planned semi-annual reviews and updates after the submission and approval of the Risk Management Plan with the Project Director and Project Sponsor.
Risk Management Reviews	As part of a disciplined approach to addressing project risks, risk meetings should be conducted during the project lifecycle at a frequency not to exceed monthly. The frequency may increase, based on the cadence and relative risk exposure of the project.

**Exhibit VII-14: Project Risk Checkpoints**

**F. Organizational Change Management**

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

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

During the Pre-DDI phase of the project of FY 2015-16, several OCM-related documents were developed, documents that include a clear and distinct formulation of the Department's OCM strategy for the AgCSS project. These documents include the following:

- Appendix R: Stakeholder Analysis OCM Assessment Plan
- Appendix S: Role-Based Skill Assessment Gap Analysis
- Appendix T: Workforce Transition Analysis
- Appendix U: Workforce Training and Transition Plan

These documents include the following essential components of the Department's OCM:

- 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:

- the Organization and Strategic Development Task Force)
- FDACS Project Manager
- Project Sponsor
- FDACS Executive Management

(The Organization and Strategic Development Task Force, referred to above, will consist of a group of Department employees who will take on the central role of organizational change management for the project. Located organizationally within the Division of Administration, this task force will be responsible for all aspects of strategy and organizational change management as the development are of the AgCSS unfolds.)

The department will adhere to the procedures in the standards of the PPMO as those procedures and standards are set forth in these OCM documents.

## G. Project Communication

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

All phases of the FDACS AgCSS Implementation Project communication methods are proven to be effective on large-scale IT implementations and follow the standards developed by the PPMO. These standards were established and formally adopted in two separate deliverables that were generated during the Pre-DDI phase that concluded in early 2016: Appendix R: Stakeholder Analysis OCM Assessment Plan and Appendix V: Communications Change Readiness Plan.

The communication requirements and standards laid out in these two deliverables include a clearly delineated communication plan, a formal project kick off meeting, regular 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.

In addition to the communications mechanisms outlined in the deliverables, the Department has created a project website that features the latest news and information concerning the progress of the AgCSS development project. The Department is also considering adding a web-based discussion feature as part of this website.

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

The Communication Plan will continue to be adhered to and will receive updates as applicable during the life of the project.

## VIII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Appendix	Description
A	Business Case
B	Master Regulatory Systems and Programs Document
C	Business Process Re-Engineering Plan
D	Use Cases
E	Requirements Traceability Verification Matrix (RTVM)
F	Success Criteria
G	Benefits Realization Plan
H	Cost Benefit Analysis Workbook
I	Risk Assessment
J	Implementation Plan
K	Portfolio Analysis
L	Data Assessment Master Data Management Plan
M	Data Conversion Migration Plan
N	Interface Assessment Implementation Plan
O	Project Charter
P	Project Management Plan
Q	Stakeholder Analysis OCM Assessment Plan
R	Role-based Skill Assessment Gap Analysis
S	Workforce Transition Analysis
T	Workforce Training and Transition Plan
U	Communications Change Readiness Plan

**FLORIDA DEPARTMENT OF AGRICULTURE AND  
CONSUMER SERVICES**

**AGRICULTURE AND CONSUMER SERVICES  
SYSTEM (AgCSS) UPDATE**

*AgCSS Business Case*

Date: 7/21/2017  
Version: V100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
7/21/17	North Highland	001	Initial Draft

### Quality Review

NAME	ROLE	DATE



## SECTION 1 BACKGROUND AND STRATEGIC NEEDS ASSESSMENT

The State of Florida Department of Agriculture and Consumer Services (FDACS or Department) is responsible for a broad range of services and regulatory responsibilities across its twelve Divisions and twelve Offices. In order to support these services and regulatory responsibilities, there are systems that provide administrative functions including revenue collection for invoices and fees for licensing for concealed weapons, private investigative recovery, and security industries; environmental services related to feed, seed, fertilizer, and pest control licensing, use and compliance; and consumer services licensing/registrations involving more than a dozen different industries. The current system environment includes:

- 68 systems (80% custom, 20% COTS with varying customization)<sup>1</sup>
- 12 systems support multiple regulatory types (certification, license, permit and registration)
- 29 systems support a single regulatory program

A complete Schedule IV-B is required to be submitted with any Legislative Budget Request (LBR) for any IT project with a total lifecycle cost in excess of \$1 million.

### 1.1 DEPARTMENT BACKGROUND

According to the Florida Constitution in Article 4/Section 4(d) and Chapters 20.14/570, Florida Statutes, the mission of the Florida Department of Agriculture and Consumer Services (FDACS) is to safeguard the public and support Florida’s agricultural economy. In order to fulfill its constitutional and statutory obligations, the Department performs a wide range of regulatory and inspection services relating to agriculture in accordance to the 507.07(2), Florida Statutes. In addition to its agricultural-related programs, the Department administers and oversees an array of different licensing and regulatory programs related to consumer services and public safety. The exhibit below identifies the Department’s Divisions and Offices.

DIVISIONS	OFFICES
Division of Administration	Office of Agricultural Law Enforcement
Division of Agricultural Environmental Services	Office of Agricultural Water Policy
Division of Animal Industry	Office of Cabinet Affairs
Division of Aquaculture	Office of Communications
Division of Consumer Services	Office of Energy
Division of Food, Nutrition, and Wellness	Office of Agriculture Technology Services
Division of Food Safety	Office of External Affairs

<sup>1</sup> Includes some modules within the total system count.



DIVISIONS	OFFICES
Florida Forest Service	Office of Federal Affairs
Division of Fruits and Vegetables	Office of General Counsel
Division of Licensing	Office of Inspector General
Division of Marketing and Development	Office of Legislative Affairs
Division of Plant Industry	Office of Policy and Budget

**Exhibit 1: FDACS Division and Office Entities**

The following exhibit provides the statutory references that grant these work units the specific legal authority to administer the programs for which they are responsible.

DIVISION/OFFICE	FLORIDA STATUTE
Division of Administration	570
Division of Agricultural Environmental Services	388, 482, 487, 576, 578, 580
Division of Animal Industry	534, 570.36, 570.38, 585, 585-II, 828.29, 828.30
Division of Aquaculture	597, 253, 379
Division of Consumer Services	472, 496, 501, 507, 525, 526, 527, 531, 559
Division of Food, Nutrition, and Wellness	570, 595
Division of Food Safety	500, 501, 502, 503, 504, 531, 583, 586, 601
Florida Forest Service	253.036, 570, 589, 590, 591
Division of Fruits and Vegetables	500.70, 570, 600, 601.29, 601.61, 603
Division of Licensing	493, 790, 776
Division of Marketing and Development	570, 571, 573, 616
Division of Plant Industry	570.32, 581, 586, 593
Office of Agricultural Law Enforcement	570
Office of Agricultural Water Policy	373.407, 373.4595, 403.067, 570.07, 570.0705, 570.074, 570.076, 570.085, 576.045, 582.06, 582.08

**Exhibit 2: FDACS Divisions and their Relevant Florida Statutes**



The Department drafted its Long Range Program Plan (LRPP) in 2014, which outlines the priorities and goals needed to fulfill the Department's mission of protecting the public and supporting Florida's agricultural economy. Summaries of such initiatives include:<sup>2,3</sup>

- Increasing the production and sale of Florida's agricultural products
- Inspection programs ensuring the safety and availability of wholesome food and other consumer products
- Encouraging the responsible use and management of natural resources
- Ensuring fair and open business practices for consumers
- Providing consistent and easy consumer access to information
- Assisting Florida's agricultural industry and businesses with the production and promotion of agricultural products
- Preventing proliferation of potential harm to agricultural lands and businesses
- Promoting environmentally safe agricultural practices

Supplementary to the goals listed within the Department's LRPP, FDACS also identified vital initiatives. These include:

- Protect consumers by more efficiently issuing private security, investigative, recovery, and concealed weapons licenses to eligible individuals and businesses
- Research, design, develop and implement a streamlined renewal process across the Divisions in terms of their concealed weapon, business regulatory, and other license types
- Further develop and expand paperless capabilities to process revenue and disbursements; integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information
- Improve the timeliness and consistency of responses from the Department and all of its Divisions and Offices to customer requests or complaints with a unified customer relationship management (CRM) tool
- Enhance the Emergency Response capabilities of the Department in reaction to pest invasions, natural or manmade disasters, or disease outbreaks

In addition to these priorities, FDACS also understands the value of strategic insight into the trends and conditions that it could benefit from in the future, and acknowledges the practices

<sup>2</sup> Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2015-16 through Fiscal year 2019-20 (Tallahassee, FL, 2013), pages 20-21.

<sup>3</sup> Florida Department of Agriculture and Consumer Services. RFQ/OATS-14/15-06, 2014 (Tallahassee, FL, 2014), page 2.



that would best align with those trends. Of the priorities outlined in the LRPP, some of the regulatory functions identified include:<sup>4</sup>

- Automated and paperless application, registration, and licensing requests
- Cost-sharing programs that offer financial incentives to agricultural businesses to use Best Management Practices (BMP) systems
- Preemptive deployment of personnel to mitigate potential risk to the public and agricultural industry
- Food testing and agricultural commodity tracking systems
- Advanced data management and imaging technology at interdiction stations

A number of these practices are critical to the ongoing success of the Department, and as a result, there is now an ever-present need for increased efficiencies across all of the Divisions. This remains a high priority for the Department.

Complementing the visions outlined in the LRPP, the 2013 IT Strategic Plan expands on the need for improving the Department's regulatory abilities with constantly-improving technologies. Striving to fulfill Commissioner Putnam's stated ambition of leveraging new technologies to further improve the Department's service functions and better serve its constituents, the Office of Agriculture Technology Services (OATS) has put an emphasis on Application Development, IT Procurement and Support, and Master Data Management in order to centralize application platforms and provide a one-stop-shop for end-user support. Better summarizing these forward-looking Department competences, the vision statement from the 2013 IT Strategic Plan states:

*"In consideration of a five-year outlook, the Florida Department of Agriculture and Consumer Services will transform its information technology resources to create a cohesive, agile, and innovative environment able to best serve the public, our regulated entities, and our employees."<sup>5</sup>*

In line with these objectives, and in order to realize the overarching Department mission, each individual Division is responsible for administering a number of differing regulatory functions. Due to the fact that FDACS governs a wide variety of diverse industries, not every Division administers similar regulatory processes akin to some of their peer Divisions. In fact, all of the documentation and literature surrounding each Division's process flow diagrams, functional requirements, system design and architecture, data structure, and operating procedures show that no two Divisions govern the exact same set of regulatory processes. Nevertheless, there are many common, core regulatory functions that the Department regulates.

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<sup>4</sup> Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2014-15 through Fiscal year 2018-19 (Tallahassee, FL, 2013).

<sup>5</sup> Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), page 6.



The primary regulatory functions of AgCSS are application, licensure, compliance, inspection, and enforcement. The definitions of each function are as follows:

- Application: Evaluation of an applicant’s credentials to determine if the minimum compliance requirements are met for licensure
- Licensure: Status determination for an authorization, license, renewal, certification, registration, or permit within a Division of the Department
- Compliance: Fulfillment and maintenance the compliance requirements for duration of licensure
- Inspection: Investigation in support of the regulatory requirements of individual programs
- Enforcement: Official evaluation of complaints, on-site inspection reports, unlicensed activity, and administrative reports to ensure they remain within Florida’s regulatory statutes and administrative rules

These regulatory functions and their supplementary key practices and procedures are listed in Exhibit 4. It is these regulatory processes that FDACS needs to streamline across all of its Divisions and Offices with the implementation of AgCSS.<sup>6</sup>



**Exhibit 3: Regulatory Lifecycle Management System Framework**

The ultimate goal of the Department is to transition to AgCSS for use by every Division to perform their core regulatory functions. The Department is implementing AgCSS for the Division of Licensing (DoL) and all of its applications and is then replacing the Division of

<sup>6</sup> Further details surrounding these supplemental procedures within each process is listed in Appendix 1.

[Florida Department of Agriculture and Consumer Services – Agriculture and Consumer Services System \(AgCSS\) Update](#)



Administration's (DoA) Revenue Receipt Accounting (REV) system. After AgCSS is successfully designed, implemented, and running for DoL and DoA, the Department will then add on the outstanding Divisions to AgCSS.

Once AgCSS is designed and approved, the Department will map the remaining Divisions' business processes to AgCSS. This effort will increase engagement with Divisions other than DoL and DoA by keeping them involved in the AgCSS effort prior to when their business processes will be directly impacted. The Divisions will also provide direct input via surveys and focus groups on AgCSS.

## 1.2 BUSINESS NEED

In January 2013, Commissioner Putnam hosted a retreat for FDACS Senior Management in order to cultivate Department-wide objectives. It is from this retreat that the need for greater efficiency, better risk management, and executive decision support and analytics originated. The Department wanted to provide a much more engaging, reliable, and user-friendly experience for their customers.<sup>7</sup>

### 1.2.1 DIVISION OF LICENSING

The Division of Licensing administers two distinct licensing programs. Pursuant to Chapter 493, F.S., the Division licenses and regulates individuals and agencies in the private investigation, recovery (repossession), and security industries. In addition to its business regulatory function, the Division also issues licenses to qualified individuals who wish to carry concealed weapons or firearms for lawful self-defense. This latter program is administered under the authority of section 790.06, F.S. These obligations are in no way menial: As of June 30, 2017, DoL had 1,960,396 valid license holders in the two programs that the Division of Licensing oversees (1,784,395 concealed weapon license holders and 176,001 individual and agency license holders in the regulated industries). This is the highest number of licenses administered by any Division in the Department. In FY 2016-17, the Division processed over 500,000 new and renewal applications in its two licensing programs.<sup>8</sup>

In addition to a final license issuance determination, DoL has a number of supplementary responsibilities that include:

- Review applications for statutory compliance
- Review criminal history records provided by the FDLE, the FBI, and other law enforcement agencies to assure applicants and licensees meet statutory eligibility standards

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<sup>7</sup> Florida Department of Agriculture and Consumer Services. RFQ/OATS-14/15-06, 2014 (Tallahassee, FL, 2014), page 2.

<sup>8</sup> Appendix C: Chapter 2, Section 1.2.3 Division of Licensing.





- Issue licenses to qualified persons
- Deny licensure to unqualified persons
- Issue letters of denial, notices of suspension, and administrative complaints
- Conduct informal hearings
- Issue final orders and handle all appeals

Other surrounding processes that accompany licensing 26 different license types and the resulting large volume of licensees is extraordinary in that it currently involves a number of manual and paper-based entries, multiple fact and background verifications, payment processing and reconciliations, and a final license issuance that all require significant time, workforce effort, and costs. The licensing process timeframe must take no longer than 90 days in accordance with State statutes. Presently, DoL is operating at a 96% issuance rate for these license types,<sup>9</sup> and would like to gain one percent in their license issuance rate per year over the next four years.<sup>10</sup> Significant time, process, and cost-saving efficiencies can be gained with the implementation of AgCSS that will help the Division reach this goal.

One of the principal concerns of DoL management is the Division's continued ability to meet the demand for concealed weapon licenses. The licensee population in the regulated industries and the demand for professional licenses in those industries remain relatively constant with only minor fluctuations. As indicated earlier, there were 176,001 valid individual and agency Chapter 493 licenses as of June 30, 2017. A decade ago, the licensee population stood at 143,308. Thus, in 10 years, the licensee population has increased by only about 23%. By contrast, the Division has experienced growth in the demand for concealed weapon licenses that can only be described as explosive. Consider the following statistics from the past decade:

- In the 10-year period from July 1, 2007, to June 30, 2017, the concealed weapon licensee population slightly more than quadrupled, surging from 438,864 to 1,784,395 license holders, an increase of over 300%.
- The Division has received more new concealed weapon license applications over the course of the last decade than in the previous 20 years combined, dating back to 1987, the year Florida's concealed weapon licensing program was implemented.

It is difficult to identify the exact cause of this sustained and unprecedented demand for concealed weapon licenses. The Division's statistics show that there were sharp spikes in the number of new license applications received during the presidential election years of 2008, 2012, and 2016. It is certainly possible that the political environment and the gun control debates that were a part of these presidential campaigns contributed to the demand. It is also possible that the numerous mass shootings – from Fort Hood in 2009 to Sandy Hook Elementary School in 2012 to the Orlando nightclub shooting in 2016 – also contributed to the demand by heightening the sense of alarm and insecurity among the general population,

<sup>9</sup> Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2015-16 through Fiscal Year 2019-20 (Tallahassee, FL, 2013), page 27.

<sup>10</sup> Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2015-16 through Fiscal Year 2019-20 (Tallahassee, FL, 2013), page 27.



causing some people to seek out ways in which to defend themselves and their families in the event of a threatening crisis.

Regardless of the causes for the sharp increase in demand for the Florida concealed weapon license, the dramatic increase in the number of applications in recent years has made it difficult for the division to provide a satisfactory level of service, especially given the outdated legacy licensing applications the division must rely on. The Division would be better prepared to handle such situations with AgCSS with a revenue component.

#### **1.2.1.1 DIVISION OF LICENSING BENEFITS FROM AGCSS**

The implementation of AgCSS will produce a number of benefits for its customers, the Division, and the Department, as a whole. Such benefits will materialize through improved customer service, client satisfaction and ease-of-use, correspondence cost savings, and license process efficiency gains.

DoL has a pressing need for implementing AgCSS, as their current ORACLE-based system has reached the end of its life: the Division's vendor contract expired on 12/31/15, leaving the Oracle Application without support coverage and exposed to potential threats and as well as without the capability of receiving system maintenance and updates. AgCSS will not only provide the Division with the security, updates, and most modern licensing technology, but will also house all of the various licensing applications on one system. This will be a key benefit, as it will replace the various legacy systems. Having one system for all applications, instead of one for each custom licensing applications, will reduce the workloads of internal employees, as they only have to operate one system, thus boosting their productivity.

DoL stands to gain numerous benefits from enhancing their online service offerings for their business regulatory and concealed weapon license applicants. AgCSS will be able to eliminate a number of the current paper processes regarding the printing, scanning, and mailing of relevant documentation, saving the Division time and paper processing costs. As a direct result of this reduction in manual processing and paper costs, the State legislature will then have the opportunity to decrease the fees associated with the various licenses that they regulate, if they so choose. The potential reduction in fees, in conjunction with easier online registration and payment, will help to bolster the Division's license renewal rate which will result in a further increase to the Division's already substantial generated revenue of approximately \$46.1 million for the 2016-17 fiscal year.

Payment/fee collection is one area related to customer experience that stands to benefit from AgCSS. Currently, the State's Divisional regional offices do not have credit card swiping capabilities. Applicants must go to the regional office counter and sit down with an agent to manually enter and submit their credit card information. Given the desire for agents to not enter confidential customer payment information for security purposes, and to facilitate a one-stop-shop user experience, this is a licensing process that can be streamlined through the credit card payment feature of AgCSS.



The customer-facing applications of AgCSS will allow potential licensees to upload, store, complete, and submit all of their applications, thus saving time, paper, and processing costs, while also enhancing their customer experiences. Specifically, in terms of a license renewal, if the required standards are met based off of previously uploaded and retained customer information, then a renewal will be issued automatically, and no additional processes will be needed. While the Division has done well to reduce their license processing timeframes, AgCSS will help to further reduce these licensing timeframes from what is currently a matter of weeks or even months to potentially just a few days.

Relatedly, external users of AgCSS will benefit in terms of customer experience and satisfaction. A common user complaint about the Division's site was that it does not allow customers to track the status or timeline of their application. In addition to quicker license processing times and determinations, AgCSS will allow customers to better track and know the status of their applications as it makes it way to final determination. Customer interactions will also be better addressed and responded to quicker with the implementation of a unified Service Desk through AgCSS's customer relationship management (CRM) tool. The overall customer experience will be further enhanced with the aforementioned one-stop-shop functionalities that include credit card processing and online payments for multiple licenses, document upload capabilities, user-profile retention, and the CRM tool.

With specific reference to the Division's oversight of Chapter 493, F.S., DoL will also benefit from the enhanced functionalities of AgCSS. The DoL's Bureau of Regulation and Enforcement operates at eight regional offices throughout the State, and performs the following regulatory activities:

- Administer qualifying examinations for Firearms Instructor and Private Investigator licensure

Given the wide breadth and depth of the DoL's license offerings, DoL has pinpointed several requirements that will assist in the enhanced delivery of their services. These include:

- Data security and segregation given the confidentiality of concealed weapon licensee information
- Removal or modification of legislative mandate(s) where feasible to improve initial or renewal application processing efficiency
- Document and file retention for their fingerprint filing
- Assimilation of historical customer demographic data across all various license types
- Dashboard navigation
- Automation of manual and paper processes
- Case management
- Document management
- Customer relationship management (CRM) tool to better respond to customer interactions



- Data cleansing and migration tool
- Emergency Response support

AgCSS will help provide further process efficiencies and workforce productivity regarding the regulatory actions of licensure, compliance, inspection, and enforcement services for not only DoL, but the rest of the Divisions in eventually incorporating the rest of them onto AgCSS.

#### **1.2.1.2 DIVISION OF LICENSING REVENUE MANAGEMENT COMPONENT**

DoL currently uses its own fiscal system to perform its revenue collection functions. This system is isolated, antiquated, and not user-friendly. Since it operates on its own application, DoL must send daily validation, check deposits, and settlement taxes to DoA's REV system. Due to the nature of having two, independent systems, there is a constant update/reconciliation and reporting process that occurs between DoL and REV, which demands time and resources. Efficiencies can be gained with the reduction in reconciliation documentation and transfer process with a new, integrated revenue management component of AgCSS.

The implemented revenue management component would be scalable so that DoA could then roll on to the application in using its revenue management component as their main revenue collection and reconciliation system. Eventually, all other Divisions within FDACS would assimilate with AgCSS in becoming a true enterprise organization.

#### **1.2.1.3 DIVISION OF LICENSING PROJECTION OF LICENSEES AND REQUIRED STAFFING GROWTH**

In recent years, FDACS has experienced a large influx of regulatory responsibilities that its workforce must manage. Specifically, in evaluating the Division of Licensing's (DoL) historical and projected license growth, there is a marked rise in the number of licensees that the Division must oversee. This statistic is crucial in determining the efficiency rate of the Department's workforce, as this rate heavily impacts the Cost Model's performance projections.

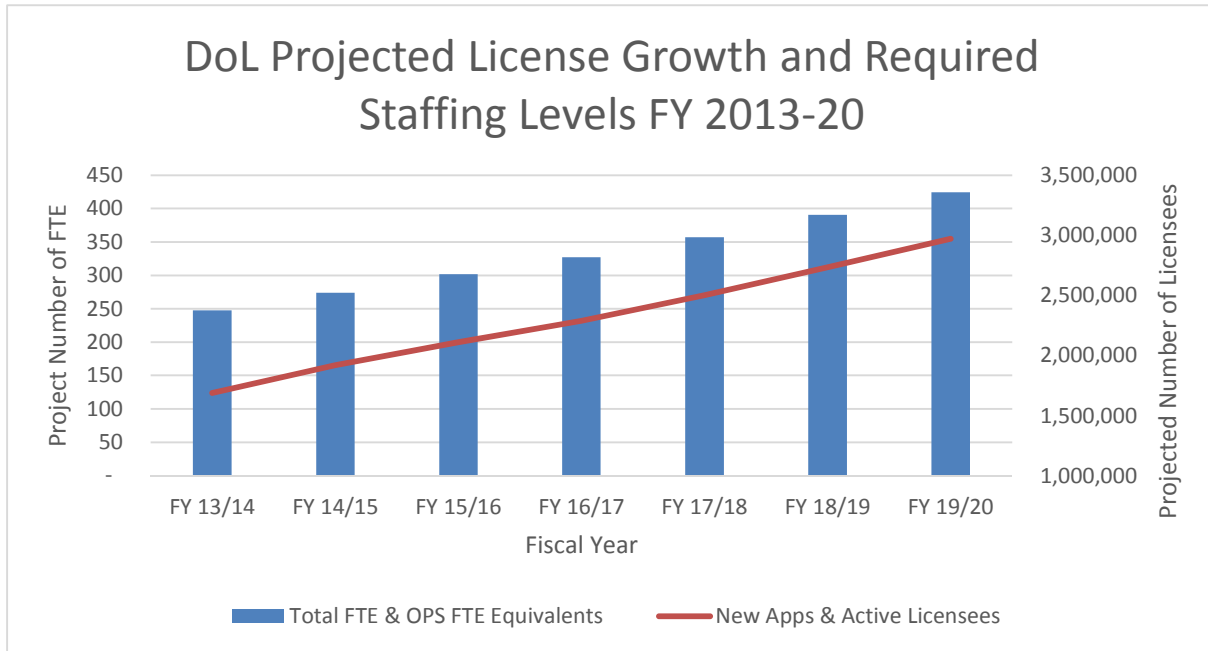
DoL administers a variety of licenses that include Concealed Weapons, Private Investigation, Private Security, and Recovery and Repossession. Over the last ten years, the average new license application volume increased by 14%; and over the past five years, this new license application growth rate was 7%.<sup>11</sup> Discussions with DoL staff confirmed application enhancements are not available to meet the expected future growth in license holders.

Projecting a continued 7% growth rate in new license applications to future years and adjusting the projected actual renewals for the licenses that expire at the end of each year and the historical 65% renewal rate<sup>12</sup> of eligible renewals would require an increase in DoL staffing levels as depicted in the following Exhibit.

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<sup>11</sup> Florida Department of Agriculture and Consumer Services. Excel Document titled, "141010-DACS01-DivLicBenefits-v001," October 10, 2014.

<sup>12</sup> Florida Department of Agriculture and Consumer Services. Excel Document titled, "141010-DACS01-DivLicBenefits-v001," October 10, 2014.



**Exhibit 4: Projected Growth of DoL Licensees and Required Staffing 2013-2020**

FDACS aims to implement AgCSS which will replace all of the Division of Licensing’s current licensing applications and the Division of Administration’s Revenue Receipt Accounting (REV) system. Given that DoL’s current system comes to its end of life at the end of 2015, and that it is the Department’s largest Division in terms of licenses administered and generated revenue (\$46.1 million for fiscal year 2016-17) and has a growing 1.9 million licensee population, this Division will immediately benefit from the cost-savings and process efficiency gains from AgCSS. Moreover, with a new revenue management component as part of AgCSS for DoL, there will be a direct interface with the Division of Administration in bringing them onto DoL’s system; both Divisions will prosper from seamless and integrated payment, data, accounting, and reconciliation processing. The intent is to eventually bring the rest of the Divisions onto AgCSS to realize the true enterprise vision of the Department.

**1.2.2 DIVISION OF ADMINISTRATION**

In accordance with 570, F.S., DoA is primarily responsible for the revenue collection and processing, disbursement, and human resources for FDACS. The Division also handles all account and administrative actions and complaints, which require regulatory processing and are stored in the Agency Clerk application. DoA currently uses the Revenue Receipts Accounting System (REV) System as their primary revenue collection system, and all funds received are tracked within REV. The Revenue Online Collection (ROC) System enables the public to make online payments and upload multiple documents at a time. DoA also uses an e-Commerce Reporting System (EGC) that assists with reconciliation and billing. These various systems operate on separate platforms, and as a result, there are a multitude of manual payments and manual revenue validation processes that must occur.



As such, DoA will gain ample benefits and efficiencies from AgCSS. The realization of these benefits will realistically take some time. DoA will not immediately integrate all of its processes with AgCSS, and the rest of the Divisions will have to remain on their current systems until the appropriate time, as well. However, DoA is eager to integrate with AgCSS given the enterprise direction of the Department. The other Divisions who will eventually roll onto AgCSS will prosper from the AgCSS's multiple payment points, disbursement, revenue collection, and reconciliation capabilities.

#### **1.2.2.1 DIVISION OF ADMINISTRATION BENEFITS FROM AGCSS**

Interfacing with the revenue component of AgCSS will provide the Division of Administration with an integration of revenue management and reconciliation capabilities that will eventually provide a multitude of benefits for the Division of Administration.

The realization of these benefits will take some time, though. DoA will not immediately be able to integrate all of its processes with AgCSS, and the rest of the Divisions will have to remain on their current systems until they are able to be integrated. As a result, AgCSS will create overhead until the time that DoA, and the rest of the Department comes on to AgCSS. However, DoA is eager to integrate with AgCSS. The other Divisions who will eventually roll onto AgCSS will prosper from AgCSS's multiple payment points, disbursement, revenue collection, and reconciliation capabilities.

With the impending implementation of the new Florida Planning, Accounting, and Ledger Management (PALM) system in the next several years, it will be easier for DoA to streamline with the revenue component given its integration with FLAIR (current financial management system). DoA will benefit from the automated dual reconciliation capability within AgCSS, as there will be a drastic decrease in the transfer of information and documentation between the revenue module and FLAIR given the real-time batching between the additional interfaces. The automated reconciliation and batching processes will become free from data duplication, thus saving the Division and FDACS valuable workforce effort and costs, and furthering the efficiencies gained from AgCSS.

The document management and handling functionalities of AgCSS will help improve DoA processing times and efficiencies in the check handling process. This will not only reduce manual nature of this process, but it will also promote higher internal controls and reduce the opportunity for internal fraud.

Another key system feature that will allow for an improved process efficiency will be near real-time deposit summaries. The current Division deposit summary process involves a "mail-in and wait" approach, where remote paper summaries are manually sent in and then take valuable time for a response receipt to be issued. With a new deposit summary feature, these summaries will be instantly deposited and verified by DoA, and will help to reduce correspondence time and costs.

AgCSS will include single sign-on/authentication whereby allowing important customer profile information to be stored and available for reuse in all other applications. Eliminating multiple sign-on points for an individual user will provide higher customer satisfaction and user



experiences. Similarly, given that AgCSS will retain pertinent, stored customer profile and payment data, this will create future business process reductions through quicker processing and renewal timeframes. Lastly, AgCSS will be able to assimilate and automate outside Automated Clearinghouse (ACH) payments and Division chargebacks.

As a result of current processes and inefficiencies with their revenue collection and reconciliation systems, the DoA has identified a number of core requirements that AgCSS will solve. These include:

- A true e-Commerce environment that captures a majority of payments online
  - › Collect one payment for multiple applications/processes; instead of multiple payments
- Shift to a fully automated renewal and notification system, where renewals and notifications are automatic upon receipt of fee payment
  - › Recipients sent notifications electronically, and in return, the Division can capture these documents electronically
- Standardization of documents via a document management tool
- Case management
- Personal data and profile management
- Work resource management
- Customer relationship management (CRM) tool to better respond to customer interactions

#### **1.2.2.2 COMMONALITIES BETWEEN DoL AND DoA REVENUE MANAGEMENT SYSTEMS**

The implementation of AgCSS strategically aligns with the goals and objectives of both DoL and DoA, and is a system that both Divisions can easily integrate given commonalities between the two Division's current revenue collection systems. Both share similar workflow processes and the data fields (length) would be the same for both Divisions, as there is little variation between the two data sets. While their individual revenue collection processes may differ slightly, having a joint revenue component will allow for expedited and accurate reconciliation processes.

The ultimate goal of the Department is to have every Division eventually roll onto AgCSS. Having the Divisions use the same, integrated revenue component utilized by DoL will be a large value-add in terms of multiple payment points, better processing and communication methods, and cost efficiencies.

#### **1.2.3 CHALLENGES**

Impeding these goals was the reality that the regulatory applications currently in place utilize differing technologies, design methodologies, and interfaces. Stemming from a previous lack of IT governance, there are multiple databases that are unique to specific Divisions, and operate



without centralized, enterprise oversight within the Department. Moreover, a number of these systems were created for specific Division programs over a decade ago with differing support requirements and end-of-life time frames with no strategy to facilitate uniform data across the Department. All of these siloed database environments produce duplicated and redundant data across the Divisions, creating a challenging environment to effectively communicate regulatory information among Divisions.

Similar to DoL, other Divisions within the Department have inadequate systems in place that pose inherent risks to the Department, as they could potentially be exposed to threats from a lack of maintenance and support coverage. Given the variability and complexity of each Division's systems, the costs associated with maintaining the status quo in terms of the upkeep and maintenance of each Division's independent systems may be greater in sum than housing all of the applications on AgCSS.

Overlying these current systems issues, the Department has also identified three key strategic challenges. First, the proliferation of redundant Division and Office processes and supporting systems exposes the Department to operational risk, which then increases the Department's administrative and support costs, while decreasing its operational efficiency and effectiveness. Second, the existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders as a result of outdated and unsupported software and technology. Last, from an external perspective, weather forecasts, commodity market reports, disease outbreaks, and international political conflicts require the Department to make constant operational course corrections.<sup>13</sup>

From an implementation perspective, a project of this nature and scope has planning, design, and execution risks. In order to mitigate these risks, quality assurance procedures, including in-progress checkpoints and deliverable reviews, have been woven into the day-to-day operations of the Project's project management activities to help ensure the project adheres to the implementation schedule. Ongoing issue management and risk assessment protocols have been upheld during project status reviews in order to mitigate potential setbacks. Effective upward communication from the FDACS PPMO to key stakeholders and Governance entities has been key to providing up-to-date project status reports, offering accurate and best judgment risk and issue assessments, and actively managing expectations. Similarly, effective downward communication to the Project team has also been essential to building a teamwork culture and communicating expectations which will shape the success of the Project.

Having FDACS Executive, Steering Committee, and Governance support, a dedicated project team, and built-in checkpoints is helping guide the Department towards success in implementing AgCSS and delivering value to the Department.

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<sup>13</sup> Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2014-15 through Fiscal year 2018-19 (Tallahassee, FL, 2013), page 17.





### 1.3 BUSINESS OBJECTIVES

The key business objectives for the improved processes within the Division of Licensing included:<sup>14</sup>

- A streamlined initial and renewal license application process for concealed weapon licenses issued by the division under the authority of Chapter 790, F.S., and the various individual and agency licenses issued by the division under the authority of Chapter 493, F.S.
- Streamline the concealed weapon/firearm license issuance process by enhancing the current “FastTrack” system in the regional offices to determine applicant eligibility at the time of application.
- Research, design, develop and implement a streamlined field administrative complaints system to be used by regional office inspectors to support issuance of an administrative complaint while in the field.
- Research, acquire, design, develop and implement a next generation document management system to replace the current ORACLE IPM system.

The key business objectives for the internal capabilities of the Division of Administration included:<sup>15</sup>

- Further develop and expand paperless capabilities to process revenue and disbursements. Integrate data into easily accessible interface(s) and provide a standardized means to facilitate the revenue and disbursements processes
- Provide easily accessible interface(s) to data, and provide a standardized method to convert data into information

In addition to the objectives of both the Division of Licensing and the Division of Administration, and in moving forward with the enterprise regulatory system vision of the Department, it is important to note the goals of the Department, as well. Based upon North Highland’s discussions with FDACS’ Divisions, Offices, and the IT Governance team, the Department documented its enterprise solution goals during a Department-wide Strategic Articulation Session with key executive staff. The goals are described below.<sup>16</sup>

1. Enhance the customer experience in all interactions with or within the Department
2. Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques

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<sup>14</sup> Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), page 46.

<sup>15</sup> Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), page 39.

<sup>16</sup> Florida Department of Agriculture and Consumer Services. Strategic Visioning Session (Rhodes Building, Tallahassee, FL, 2014, August 27, 2014).



3. Enable an enterprise customer service operation
4. Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues

Shifting from a divisional model to an enterprise model, the key components that will help achieve the desired Department goals<sup>17</sup> are:

- A fully optimized technological infrastructure
- A single sign-on identity management system
- A master data management system
- A document management system
- A customer relationship management (CRM) system
- An Emergency Response system
- Mapping and data storage capabilities on a geographical information system
- A unified Service Desk combining help desk and call center as a single point of contact for internal application users and the public<sup>18</sup>

AgCSS will capitalize on the opportunity to realize substantial gains in a number of key areas.

### ***Customer Relationship Management (CRM) Tool***

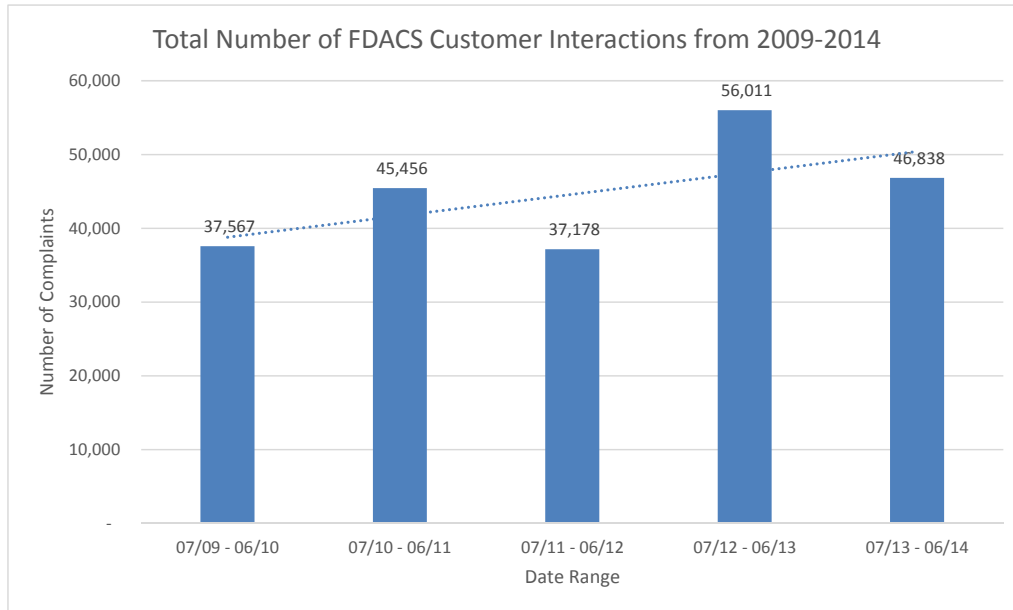
Stemming off of the Department's last goal of a unified Service Desk, AgCSS will reduce the multiple points of contact with the Department. Decreasing the number of internal administrative and regulatory processes through a customer relationship management (CRM) tool is a major objective of many Divisions and the Department. The total numbers of Department customer interactions are increasing by an average of 9%<sup>19</sup> a year and are significantly adding to the costs of the Divisions and Department in having to set up and operate call centers for these interactions. The Exhibit below displays the growth of Department interactions from 2009 to 2014.

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<sup>17</sup> Florida Department of Agriculture and Consumer Services. Executive Summary, Regulatory Systems and Programs Feasibility Study Preparation, 2014 (Tallahassee, FL, 2014), page 5.

<sup>18</sup> Based on ITIL set of practices.

<sup>19</sup> Appendix C: Chapter 2, Section 1.3 Business Objectives.



**Exhibit 5: Total Number of FDACS Customer Interactions from 2009 to 2014**

An enterprise CRM and Service Desk that unifies the help desks and call centers of the Department will help to reduce the multiple points of contact within the Department, as well as provide personalized services that improve customer service and satisfaction. The CRM tool will decrease the number of interactions and increase internal productivity by streamlining management and workflow processes through consolidated Division, Department, and customer information. Whether through call centers, interactive voice response (IVR), self-service kiosks, proactive email and texting, chat, mobile applications, faxes, internet, or in-person scheduling, integrating CRM with AgCSS will allow the Department to provide customers with a more personalized and proactive service, regardless of the channel. The overall benefits of the CRM will be lowered customer service costs and elevated customer experience with the Department.

Instituting more open communication channels between the Divisions and Offices not only reduces redundant data collection, but also bolsters monitoring, compliance, inspections, and customer service across the Department via more efficient process management that is critical to effectively respond to potential emergencies or issues that affect the well-being of the public and the State's agricultural industry. Moreover, these improved analytical abilities will lead to efficient resource allotment and operational efficiencies within the Divisions and across the Department, as well as reduced support costs.

The Department will see improvements at the business process level with the restructuring of duplicative processes and streamlined data identification. Movement towards higher data integrity and standardization will allow for improved operational efficiency, reporting, and monitoring. Stemming from this capability, key analytical metrics will facilitate better proactive decision support for the Department. AgCSS implementation will greatly improve efficiency by consolidating a number of core business processes which are currently on disparate platforms,



thus reducing the hardship of IT infrastructure maintenance for the Department. In alignment with the Department's strategic objectives, the deployment of AgCSS will empower its customers and position the Department to be responsive to changing operational demands.

### **Emergency Response**

Another critical area in which the Department will benefit from AgCSS is when FDACS is responsible for leading and/or managing an Emergency Response. As the first point of contact when natural- or manmade disasters occur, FDACS must deliver a timely and well-organized strategy for all impacted Divisions to execute. Whether it is the exchange of critical information, geospatial mapping of the mission-critical areas, resource planning and staffing, or cost tracking, the Department not only needs quick and reliable access to all of these capabilities, it must also be able to effectively communicate the appropriate execution plans. Currently, Emergency Response is a disjointed and retroactive process, as the Department has to develop a new system for every single emergency which usually encompasses inefficient methods of communication, mapping, and staffing, often performed via phone calls or emails. This manual process requires significant manpower, time, and effort, thus reducing the overall process efficiency of the Department's Emergency Response capability.

Further substantiating this point, the Department is the primary support agency for Emergency Support Functions (ESF) 17 and 11, "Food and Water," and "Animal and Agricultural" issues, respectively. As such, the Department is responsible for coordinating the training, staffing, scheduling, and identification of resources; cost records; financial reimbursement; and synchronization of joint activities with state and federal agencies. During emergency situations, the Department must be at its most efficient in order to protect consumers and the agricultural industry. The Department and the public will tremendously benefit from enterprise capabilities through AgCSS that include case management, workflow management, workforce management, enhanced GIS, and mobile inspections to support Emergency Response.

The U.S. Department of Agriculture estimates that foreign pest invasions cost U.S. taxpayers \$120 billion dollars a year.<sup>20</sup> Foreign pest invasions can result in the reduction of crop value, high eradication expenses, emergency payments to farmers, and higher food and other natural resource costs to consumers.<sup>21</sup> Florida identified 120 new plant pests in the state since 2006, with 26 new plant pest species identified from 2010 to 2011 alone.<sup>22</sup> More recently in November of 2014, the State had to develop a new response plan for the Conehead termite outbreak. The Department has placed a high priority on containing and eradicating species such as the Conehead termite, the Giant African Land Snail (GALS), Asian citrus psyllid, Asian citrus canker, Candidatus Liberibacter bacteria which causes Citrus Greening, and the

<sup>20</sup> Florida Department of Agriculture and Consumer Services. PowerPoint from email, "SPB NAFTA Challenges Florida 2008 WNDixon." Page 31. Accessed October 9, 2014.

<sup>21</sup> Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 10.

<sup>22</sup> Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 2.



Mediterranean fruit fly. The State successfully eradicated two separate cases of the Mediterranean fruit fly in 2010 and 2011, but at a combined cost of over \$3.5 million dollars.<sup>23</sup> In other attempts to eradicate citrus pests, the State of Florida spent approximately \$700 million for the Citrus Canker Eradication Program (1995-2006), and an additional \$58 million for the Citrus Health Response Programs (2007-2011).<sup>24</sup> As recent as 2015, the State declared another emergency related to an infestation of an Oriental Fruit Fly in Miami-Dade County, and has begun developing a new system to deal with these pests.

AgCSS will enhance and accelerate the Department's Emergency Response system, as well as reduce overall Emergency Response costs not only for FDACS, but also for the State. Additional funding is required to perform the initial analysis that includes requirements gathering, use cases, and business process reengineering (BPR) of AgCSS's Emergency Response system for the Department.

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<sup>23</sup> Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.

<sup>24</sup> Society of American Florists: Pest and Production Management Proceedings. "A World Without Boundaries: And None for the Pests as Well." Florida Department of Agriculture and Consumer Services, Division of Plant Industry, Gainesville, FL, 2012. Page 6.



## SECTION 2 BASELINE ANALYSIS

A baseline analysis will help to establish a basis for understanding the Division of Licensing's, the Division of Administration's, and FDACS' current business processes, stakeholder groups, and Divisional regulatory functions managed that will be affected by AgCSS. Basic assumptions and constraints regarding the project will also be covered.

### 2.1 CURRENT BUSINESS PROCESSES

The Exhibit<sup>25</sup> below illustrates the 26 various license types and volume managed by the Division of Licensing. As the Division that administers the highest number of licenses within FDACS at over 1.5 million licensees, DoL will benefit from having all of their distinct licenses housed on the same application and the resulting standardization of business processes.

LICENSE TYPE	NUMBER OF LICENSEES
W – Concealed Weapon or Firearm	1,772,523
D – Security Officers	135,332
G – Statewide Firearm Licenses	20,497
WR – Concealed Weapon or Firearm/Retired Law Enforcement and Correctional Officers	11,128
C – Private Investigators	7,762
A – Private Investigator Agencies	2,910
CC – Private Investigator Interns	1,453
DI – Security Officer Instructors	1,596
MB – Security Managers	1,450
B – Security Agencies	1,513
E – Recovery Agents	872
WJ – Concealed Weapon or Firearm/Circuit and County Judges	731
K – Firearms Instructor	664
M – Private Investigative/Security Agency Managers	466
R – Recovery Agencies	333

<sup>25</sup> “Florida Department of Agriculture and Consumer Services Division of Licensing Number of Licensees by Type as of June 30, 2017.” July 6, 2017, [http://www.freshfromflorida.com/content/download/7471/118627/Number\\_of\\_Licensees\\_By\\_Type.pdf](http://www.freshfromflorida.com/content/download/7471/118627/Number_of_Licensees_By_Type.pdf).

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LICENSE TYPE	NUMBER OF LICENSEES
DS – Security Officer Schools	373
EE – Recovery Agent Interns	421
BB – Security Agency Branch Offices	172
MA – Private Investigator Agency Managers	84
AA – Private Investigator Agency Branch Offices	25
RR – Recovery Branch Offices	36
AB – Security Agency/Private Investigative Agency Branch Offices	21
RI – Recovery Agent Instructor	11
RS – Recovery School	4
MR – Recovery Branch Managers	6
WS – Concealed Weapon or Firearm/Consular Security Official	13
<b>GRAND TOTAL</b>	<b>1,960,396</b>

**Exhibit 6: Division of Licensing License Type and Volume**

The Division of Licensing has stated that internal productivity will increase through the assimilation of all of their licensing systems if all historical, demographic, and license standing data will be available in one domain, as opposed to their current method of searching for this information within multiple systems.

The current maintenance cost of all of these various licensing systems is approximately \$258 thousand per year. With the Division running on an old, 32 bit Windows 7 OS, they are constrained as to the level of required maintenance they need to uphold current capabilities. As a result, the annual systems maintenance costs could significantly increase given the system’s expiring support.

In evaluating the Division of Licensing’s (DoL) current business processes, it is apparent that the Division can gain a multitude of efficiencies with the automation of many current manual processes. These efficiencies will be realized through increases in both workforce and resource utilization, as well as decreases in business process time, and correspondence costs. The following subsections outline the extent of manual effort required to produce a license, and illustrate the immediate impact AgCSS will have in expediting this process with a fully-automated system.



### License Type Document Filter

- In FY 2016-17, the Division received over 254,000 new and renewal applications in the mail. A daily average of 4-5 U.S. mail tubs of applications are received through mail.
  - › It should be noted that concealed weapon license applications are received electronically from regional offices and tax collectors' offices; in FY 2016-2017, the total number of new and renewal applications received exceeded 293,000. Electronic submissions eliminate many of the steps described here, which pertain only to applications submitted on paper and received via the regular mail.
- Mail is opened by hand
- Mail is sorted by document type
- Sorted mail is then assembled into smaller, more manageable groups called "batches."
- By "batch," each page of every document is scanned
- Optical Character Recognition (OCR) captures customer demographics and address in the database

### Fiscal Validation

- "Batched" paper documents and checks are received from the mail room
- Checks are "validated" and prepared for deposit
- Validated checks are hand-delivered to bank for deposit

### Document Indexing

- "Batched" paper documents are assigned by supervisor
- Quality Assurance (QA) is performed to ensure scanned document is legible and properly captured
- Data retrieved from Optical Character Recognition (OCR) is compared to information on paper document
- Image is released to the Electronic Document Management System (EDMS)

### Fingerprinting

- "Batched" paper documents are assigned by supervisor
- Demographics are entered and the fingerprint card is scanned using FBI-certified scanner
- Quality Assurance (QA) is performed
- Fingerprint images and applicant's demographic data are submitted electronically to the FDLE for the state & national criminal history record check to be performed
- "Batched" paper documents are placed in boxes





License Issuance

- If application is complete and applicant is qualified, then a license is issued.
- If application is incomplete, then an Error or Omission letter is generated and mailed to applicant.
- If fingerprints were deemed illegible by the FBI, then a Fingerprint Rejection letter is generated and mailed.
- If application is complete but applicant has a criminal record, then criminal record is reviewed.
- If applicant is not qualified, a Denial Letter is mailed to the applicant along with an election of rights form to allow applicant to begin the appeals process allowed by law

As evidenced, it is clear to see how labor intensive the process is to issue a license for both business regulatory and concealed weapon licenses. The problems inherent in this process are only exacerbated by the continued reliance on paper-based licensing system. This is slowly changing, but the problem still remains. Of the almost 550,000 new and renewal applications received by the Division in FY 2016-2017, over 290,000 of those applications came to the division as mail-in paper applications. Division statistics show that paper applications received via the regular mail are many times more likely to contain deficiencies (errors or omissions) that require the Division to notify the applicant and request that the deficiencies be remedied. Over the past three years, deficiency rates for mail-in applications ranged from 20-28% while deficiency rates for electronically submitted applications ranged from 5-7%. This is due to data entry being screened and controlled when done at a customer service kiosk on an electronic version of the application form. Fewer errors means reduced processing time and faster license issuance. It should be pointed out that no applicant has the option of submitting an application for an individual or agency license in the Division's business regulatory program. The entire application process is still paper-based. The Division has made it a priority to initiate efforts to increase this online registration percentage and process automation.

In maintaining the Department' focus towards the Department's future goal of an enterprise environment for AgCSS, the Exhibit below illustrates over 60 regulatory systems being managed by the Divisions, all in separate environments. Often, Department entities and programs exist in their own silo. A detailed list of each Division's Regulatory Systems and Programs, as well as their processing volume, documentation, profile, and platforms can be found in the Master Regulatory Systems and Programs.<sup>26</sup>

DEPARTMENT ORGANIZATION	IMPLEMENTATION RELEASE	REGULATORY FUNCTION	NUMBER OF SYSTEMS <sup>27</sup>
Division of Licensing	1	Image Processing Licensing	4

<sup>26</sup> Florida Department of Agriculture and Consumer Services. *Master\_Regulatory\_Systems\_and\_Programs\_v1.0*, 2014 (Tallahassee, FL, 2014).

<sup>27</sup> Includes the number of modules for each system in the total system count.

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DEPARTMENT ORGANIZATION	IMPLEMENTATION RELEASE	REGULATORY FUNCTION	NUMBER OF SYSTEMS <sup>27</sup>
Division of Administration	1	Finance and Accounting Revenue Management	4
Division of Agricultural Environmental Services	TBD	Compliance Tracking System Registration Licensing	11
Division of Aquaculture	TBD	Inspection Certification Licensing	5
Division of Fruits and Vegetables	TBD	Inspection Enforcement Registration Permitting	16
Division of Marketing and Development	TBD	Licensing Permitting	2
Division of Plant Industry	TBD	Compliance Inspection Revenue Management Tracking System Registration	6
Division of Animal Industry	TBD	Permitting Inspections	7
Division of Consumer Services	TBD	Permitting Registration Licensing Compliance Inspection	21
Division of Food Safety	TBD	Inspection Tracking Registration	4
Florida Forest Service	TBD	Authorization	1
Office of Agricultural Law Enforcement	TBD	Reporting Image Processing	4
Office of Agricultural Water Policy	TBD	Tracking	2

**Exhibit 7: FDACS Division Regulatory Functions and Systems**

Out of the varying 68 different regulatory applications, FDACS manages the lifecycle of approximately 30 licensing-specific systems as listed in the Master Regulatory Systems and Programs Document.<sup>28</sup> In reviewing the licensing systems within the Department, it is clear to see the wide variability and complexity of each license type, which then requires its own

<sup>28</sup> Florida Department of Agriculture and Consumer Services. *Master\_Regulatory\_Systems\_and\_Programs\_v1.0*, 2014 (Tallahassee, FL, 2014). [Florida Department of Agriculture and Consumer Services – Agriculture and Consumer Services System \(AgCSS\) Update](#)



specific configuration, set of requirements, and software renewal dates for the applications and tools supporting the business. This lack of uniformity also exists amongst the other regulatory functions within the Department. The Divisions that oversee a licensing system are outlined in the Exhibit below.

DEPARTMENT ORGANIZATION	BUREAU/OFFICE	SYSTEM NAME (ACRONYM)	NUMBER OF SYSTEMS
Division of Agricultural Environmental Services	<ul style="list-style-type: none"> <li>▪ Bureau of Agricultural Environmental Laboratories</li> <li>▪ Bureau of Licensing and Enforcement</li> <li>▪ Bureau of Inspection and Incident Response</li> </ul>	<ul style="list-style-type: none"> <li>▪ AES Laboratory Information Management System (AES-LIMS)</li> <li>▪ Agricultural Environmental Services Suntrack System (AES-Suntrack)</li> <li>▪ Case File System</li> <li>▪ DOI Database</li> <li>▪ Electronic Fumigation Notice Submissions (FUMIGATION)</li> </ul>	6
Division of Aquaculture	<ul style="list-style-type: none"> <li>▪ Bureau of Aquaculture Environmental Service</li> </ul>	<ul style="list-style-type: none"> <li>▪ Apalachicola Bay Oyster Harvesting License (ABOHL)</li> </ul>	1



DEPARTMENT ORGANIZATION	BUREAU/OFFICE	SYSTEM NAME (ACRONYM)	NUMBER OF SYSTEMS
Division of Consumer Services	<ul style="list-style-type: none"> <li>▪ Bureau of Compliance</li> <li>▪ Director's Office</li> </ul>	<ul style="list-style-type: none"> <li>▪ DOCS – Education Providers</li> <li>▪ DOCS – Health Studios</li> <li>▪ DOCS – Professional Surveyors and Mappers</li> <li>▪ DOCS – Motor Vehicle Repair</li> <li>▪ DOCS – Sellers of Travel</li> <li>▪ DOCS – Solicitation of Contributions</li> <li>▪ DOCS – Interstate Movers</li> <li>▪ DOCS – Business Opportunities Franchises</li> <li>▪ DOCS – Telemarketing</li> <li>▪ DOCS – Pawnshops</li> <li>▪ LP Gas</li> </ul>	11
Division of Food Safety	<ul style="list-style-type: none"> <li>▪ Bureau of Dairy Industry</li> <li>▪ Bureau of Food and Meat Inspection</li> </ul>	<ul style="list-style-type: none"> <li>▪ Regulatory Information Management System (RIMS)</li> <li>▪ Food Inspection Management System (FIMS)</li> </ul>	2
Division of Fruits and Vegetables	<ul style="list-style-type: none"> <li>▪ Bureau of Technical Control: Director's Office</li> </ul>	<ul style="list-style-type: none"> <li>▪ Fruit and Vegetable System – Citrus Dealers (FAVR)</li> <li>▪ Fruit and Vegetable System – Growers and Handlers (FAVR)</li> </ul>	2



DEPARTMENT ORGANIZATION	BUREAU/OFFICE	SYSTEM NAME (ACRONYM)	NUMBER OF SYSTEMS
Division of Licensing	<ul style="list-style-type: none"> <li>▪ Bureau of License Issuance</li> <li>▪ Bureau of Regulation and Enforcement</li> <li>▪ Bureau of Support Services</li> <li>▪ Bureau of External Services and Quality Assurance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Concealed Weapons Intake System (CWIS)</li> <li>▪ Licensing Reflections System (LICG)</li> <li>▪ Imaging Business and Process Management (EDMS)</li> <li>▪ Web-based Fast Track System (WBFT)</li> <li>▪ Concealed Weapon Renewal Express (CWREX)</li> </ul>	4
Division of Marketing and Development	<ul style="list-style-type: none"> <li>▪ Bureau of Agricultural Dealer's Licenses</li> </ul>	<ul style="list-style-type: none"> <li>▪ License and Bond System (LBL)</li> </ul>	1

**Exhibit 8: FDACS Licensing Count**

In evaluating the license types, functions, and processes, FDACS administers a wide range of regulatory applications throughout the Department. In fact, thirteen of the Department's twenty-four Divisions and Offices conduct similar regulatory processes, despite executing those processes quite differently. A core feature of AgCSS is the standardization of these functions across the Department.

Moreover, the composition of their portfolio ranges from legacy systems, large-scale web applications, MS Access databases, custom applications, commercial-off-the-shelf (COTS) solutions, and customized COTS solutions.<sup>29</sup> Each Division is responsible for the continued upkeep and support of their own application software. This environment, lacking centralized, enterprise oversight, has created inconsistency across data elements and has been a root cause for data redundancies. These duplications and inconsistencies are then further exacerbated by the lack of direct communication channels and access points within the Department. There is an unmet need within the Department for all Divisions to be able to better share and access each other's information and data.

Stemming from the Commissioner's executive retreat in ascertaining specific Department-wide goals and IT initiatives in 2013, the results from the FDACS Work Group Report – 2013

<sup>29</sup> Florida Department of Agriculture and Consumer Services. Executive Summary, Regulatory Systems and Programs Feasibility Study Preparation, 2014 (Tallahassee, FL, 2014), page 4.



illustrate not only the enterprise objectives<sup>30</sup> of inspector standardization, enhanced customer service, and compliance consistency, but also a shared need of similar requirements across the Department. The Exhibit below depicts each Division's stated desire for an enterprise capability through AgCSS.<sup>31</sup>

DIVISIONS	DIVISION IT INITIATIVE	ENTERPRISE
Division of Administration	Regulatory Lifecycle Management System	✓
Division of Agricultural Environmental Services	Regulatory Lifecycle Management System	✓
Division of Animal Industry	Regulatory Lifecycle Management System	✓
Division of Aquaculture	Regulatory Lifecycle Management System	✓
Division of Consumer Services	Regulatory Lifecycle Management System	✓
Division of Food, Nutrition, and Wellness		
Division of Food Safety	Regulatory Lifecycle Management System	✓
Florida Forest Service		
Division of Fruits and Vegetables	Regulatory Lifecycle Management System	✓
Division of Licensing	Regulatory Lifecycle Management System	✓
Division of Marketing and Development	Regulatory Lifecycle Management System	✓
Division of Plant Industry	Regulatory Lifecycle Management System	✓
Office of Agricultural Law Enforcement	Regulatory Lifecycle Management System	✓
Office of Agricultural Water Policy	Regulatory Lifecycle Management System	✓

**Exhibit 9: 2013 Division IT Initiative in RLMS**

## 2.2 ASSUMPTIONS AND CONSTRAINTS

For consideration in moving forward with AgCSS implementation for the Division of Licensing, then the Division of Administration, and eventually the rest of the Department, several assumptions and constraints were documented during discussions with the Divisions and

<sup>30</sup> Florida Department of Agriculture and Consumer Services. Exhibit D3-A, Florida Fiscal Portal Publications, 2014, page 142.

<sup>31</sup> Florida Department of Agriculture and Consumer Services. 2013 Information Technology Strategic Plan, 2013 (Tallahassee, FL, 2013), pages 10-11.

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Offices. The assumptions and constraints listed in the Exhibit below are not necessarily linked across rows with one another.

ASSUMPTIONS	CONSTRAINTS
The Division of Licensing (DoL) is willing/able to be the first Division to integrate with AgCSS.	The other Divisions will continue to use their current systems and will need to wait until the appropriate Implementation Phase to integrate with AgCSS.
The Division of Administration is willing/able to be integrated with AgCSS after a year's time from when DoL integrates with AgCSS.	The revenue management component of AgCSS has the scalability to bring on all of the Divisions.
All Divisions / Offices are willing / able to be included in AgCSS.	AgCSS will focus on regulatory process and not outside functionality (e.g., HR system).
All Divisions / Offices will be included in the Implementation Plan.	The requested funding for AgCSS will be available at the scheduled start date.
All the Department's regulatory processes fall into the standardized application framework.	The Department has completed large implementations in the past, and some areas may be hesitant to undergo another implementation effort.
The Department staff is currently operating at full capacity. Weeks Per Year – 52 Hours Per Week – 40	The planning horizon for AgCSS is over several years with potential for leadership changes during that time.
With the deployment of AgCSS, the Department will require a document management system.	The current organization structure is not aligned to an enterprise orientation.
Internal Employee Rate (Weekly) - \$1240 External Consultant Rate (Weekly) - \$ 6400 External PM Rate (Weekly) - \$ 9000	AgCSS will require high document management costs.
Avg. User License Cost - COTS Platform - \$1,500 Avg. User License Cost - COTS - \$770 External PM to External staff ratio – 1:08 # of COTS System Admins - 47 # of COTS user licenses – 500	The role of the Agency for State Technology (AST) for Independent Verification and Validation of AgCSS has not been defined at this time.
Required project team training - none Required New End User Training – 2.5 days Required Yearly End User Training – 1 day	At the time of assumption and constraint document, a dominant software provider was not established in this market space (i.e., enterprise vs. point solution).
There is a correlation between the increasing regulatory responsibilities and FDACS' rising budget.	

**Exhibit 10: Assumptions and Constraints**



## SECTION 3 PROPOSED BUSINESS PROCESS REQUIREMENTS

This section helps to establish a basis for understanding the business processes requirements that AgCSS must meet, and it also outlines the criteria the project used in selecting GCOM's services.

The project team met with all twelve Divisions and two Offices within the Department to discuss their current business requirements and desired future functionalities. The team worked to identify and analyze the current state of the regulatory applications across the Department, as well as determine the key functionalities of AgCSS from each Division and Office's perspective. Over the course of the discussions with each Division and Office, there were a few overarching functionalities that were shared across many, if not all, of the Divisions and Offices.

The FDACS Key Functionality Heat Map document found in Appendix 2 illustrates these functionalities, while Appendix 3 details the sub-capabilities of these core functionalities. The Requirement Excel document titled, "DACCS01-RTVM-v001," provides a more expansive description of each individual Division's future state requirements.

### 3.1 PROPOSED BUSINESS PROCESS REQUIREMENTS

The Proposed Business Process Requirements for each Division can be referenced in Appendix 4, as well as in the document named "DACCS01-RTVM-v001."

### 3.2 BUSINESS SOLUTION

The Department chose GCOM as the Systems Integrator and their supporting system Accela based upon the following criteria:

- The mission of the Department and governing statutes
- The limitations of the current disparate systems
- The Department's guiding principles, goals, and objectives for AgCSS
- Research into how Florida agencies and the software market have responded to the challenges of implementing an enterprise RLMS

Establishing a minimum set of capabilities was critical to ensure all options are compared to a common standard. This common base allowed option costs, timelines, and capabilities to be compared in a consistent manner. The Exhibit below lists several of the capabilities of AgCSS.

<b>AgCSS CAPABILITIES</b>	
▪ Case Management	▪ Permitting
▪ Configuration	▪ Process Automation





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**AgCSS CAPABILITIES**

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▪ Data Migration/Data Conversion	▪ Public Portal
▪ Data Segregation	▪ Reporting
▪ Document Management	▪ Revenue Collection and Reconciliation
▪ E-commerce	▪ Service Desk
▪ Geographic Information System (GIS)	▪ Support and Maintenance
▪ Licensing	▪ Workflow Management
▪ Mobile Device	▪ Workforce Management

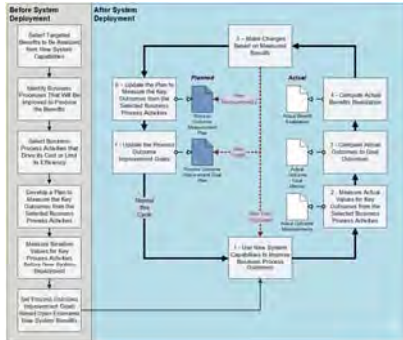
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**Exhibit 11: Minimum AgCSS Capabilities**



### 3.3 BENEFIT MEASUREMENT OF AgCSS

The Department has developed a strategy for realizing the estimated benefits expected from modernizing its technology infrastructure through the implementation of AgCSS to improve business processes and their associated outcomes. This strategy is summarized below and the approach that will be used to track and manage project benefit realization is depicted in Exhibit 21.



**Exhibit 12: Benefits Realization Process**

The thoughtful and intentional realization of benefits cannot begin until a process is in place – with strong leadership, broad understanding, and support from all stakeholders to regularly obtain meaningful measurements of business process outcomes. The following paragraphs explain the benefits realization management activities. The management of RLMS benefits realization begins by taking a number of preparatory steps before the new solution is deployed.



The following steps were performed:

- **Selected the targeted benefits to be realized from the new system capabilities:** The benefits identified in this feasibility study were continuously refined and supplemented through the project's pre-implementation activities
- **Identified the processes that will be improved to produce the benefits:** The business processes related to the targeted benefits were analyzed and validated in conjunction with key Division staff
- **Developed a plan to measure these key activities** (e.g., labor, duration, resources, quantity, quality, etc.): The plan includes what is being measured and by whom and fully describes the method for taking the measurements so that different individuals could obtain the same results.

The following steps are either in process or will be conducted:

- **Select key activities from each business process that may serve as indicators of process improvement:** The relevant business processes will be broken into smaller sub-processes and activities in order to facilitate discussions and analysis of current costs and opportunities for improvement using the RLMS's functionality and capabilities; estimated cost elements for each sub-process will be assembled into a RLMS Benefits Realization Workbook; this will produce a large number of cost elements, which will be impractical to routinely track therefore, the values for a few key activities should be chosen as meaningful measurements of process improvement and cost reduction.
- **Measure baseline values for key process activities before the RLMS is deployed:** The measurement plan should be carried out until it is understood by all participants; then baseline measurements should be taken before system deployment so that before-and-after comparisons may be made.
- **Set process outcome improvement goals based upon the estimated solution benefits:** The cost reduction benefits from using RLMS have been estimated based on the areas that are believed to most benefit from the new solution; once the estimated benefits are being realized, outcome improvement goals may be revised to obtain even greater benefits; the benefits realization management cycle can be employed as part of on-going continuous process improvement activities.

After implementation of the AgCSS, benefits realization management will consist of recurring cycles of the following actions:

1. Use AgCSS's capabilities and functionality to improve business process outcomes (e.g., lower cost, higher output, improved quality, etc.)
2. Measure the actual process outcomes
3. Compare the actual outcomes to the goal outcomes
4. Compute actual benefits realization
5. Make changes to AgCSS user processes or procedures, to the measurement plan, or to the process outcome goals – based upon the actual measurement results



6. Review and update the key process outcomes measurement plan, as required
7. Review and update process outcomes improvement goals, as required

## **SECTION 4 FUNCTIONAL AND TECHNICAL REQUIREMENTS**

The requirements for functional capability are located in Appendix 3, and the technical capabilities are located in Appendix 4 of this document.



## SECTION 5 APPENDICES

### 5.1 APPENDIX 1 – CURRENT AgCSS PROCESS CHART AND PROCEDURE DESCRIPTIONS



### AgCSS Framework

#### 5.1.1 APPLICATION

The Application regulatory process evaluates an applicant's credentials for an initial application, renewal, certification, registration, or permit to determine if the statutorily-established minimum requirements are met.

#### 5.1.2 LICENSURE

The authorization, licensing, and permitting regulatory processes are comprised of procedures that include but are not limited to a complete administrative review of the minimum compliance requirements, money processing, and official documentation of application for full licensure status.

#### LICENSURE REGULATORY SUPPORTING PROCESSES

Money Processing and Reconciliation	Division receives payment for licensure and performs reconciliation predominantly through FLAIR or ROC.
Administrative Review	Examination of the necessary requirements needed to fulfill the minimum compliance requirements for licensure.
Documentation for Retention	Scans of documents are taken and either manually stored or uploaded to disparate databases for record keeping.



### 5.1.3 COMPLIANCE

The Compliance regulatory process ensures fulfillment and maintenance of the compliance requirements for duration of licensure. This process is comprised of the following procedures.

#### COMPLIANCE REGULATORY SUPPORTING PROCESSES

Case Assignment	Individuals or business entities must display valid registration/license documentation or are either selected specifically or at random to prove they meet the compliance requirements for maintaining licensure.
Training Program	Depending on the Division, completion of a mandated training program(s) is needed to maintain a specific type and level of licensure.
Report to On-site Supervisor	Individuals working within an agricultural business entity report the details surrounding the operations and/or conditions of the business to their on-site supervisors to ensure compliance standards are met and maintained.



### 5.1.4 INSPECTION

The inspection regulatory process is the investigation in support of the regulatory requirements of the individual programs. Within the inspection regulatory process, there are supplementary procedures that fall under this activity.

#### INSPECTION REGULATORY SUPPORTING PROCESSES

Site Visits	Inspectors will conduct on-site visits either by schedule or at random to determine if a site meets the compliance requirements for maintaining licensure.
Facility Reports	Inspectors will verify the operations or conditions of agricultural facilities are up to code and meet the compliance standards as through a specific checklist determined by the Department.
Best Management Practices (BMPs)	In adopting BMPs, a legal (contractual, statutory, etc.) obligation is created for adherence to the BMPs; after which, auditing occurs to ensure adherence to the BMPs.

### 5.1.5 ENFORCEMENT

The enforcement regulatory process handles complaints, on-site inspection reports, unlicensed activity, and administrative reports to ensure they remain within Florida’s regulatory statutes and administrative rules, and issue disciplinary final orders of findings that violate the regulatory statutes. Within the enforcement regulatory process, there are supplementary procedures that fall under this activity.

#### ENFORCEMENT REGULATORY SUPPORTING PROCESSES

Documentation for Retention	Scans of documents are taken and either manually stored or uploaded to various databases for record keeping.
Complaints	Customer complaints are received in the form of phone calls and emails.
Investigations	Based upon customer complaints, observed activity, or inspections, investigations may be opened against an individual or business entity if their ability to meet compliance standards is questionable.
Issuance of Restrictions and/or Penalties	If individuals or business entities fail to meet the compliance standards, then enforcement agents have the authority to issue punitive actions or rescind licensure.



## 5.2 APPENDIX 2 – FDACS FUNCTIONALITY HEAT MAP

		FDACS Division												
		Admin.	AES	Law Enforce.	Animal	Aqua	Consumer Services	Forest Service	Food Safety	F & V	Licensing	Marketing & Development	Plant	Water Policy
Functionality	Case Management	✓	✓	✓			✓		✓	✓	✓	✓	✓	✓
	Financials/ eCommerce	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓		
	Business Intelligence	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Workforce Management	✓	✓	✓			✓			✓		✓	✓	✓
	Mobile Work Force	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
	Licensing and Permitting		✓		✓	✓	✓		✓	✓	✓		✓	
	Geospatial Mapping	✓			✓	✓		✓			✓		✓	✓
	Document Management	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓

**FDACS Division Functionality Heat Map**





### 5.3 APPENDIX 3 – CORE FUTURE STATE FUNCTIONALITIES

- Case Management
  - › Lifecycle Management
  - › Workflow Application
  - › Complaint Management & Disposition
  - › Case Prioritization
  - › Inter-Division Case Management
  - › Emergency Response
- Financials/e-Commerce
  - › Revenue Management and Financial Reporting
  - › Revenue Collection (Portal, Mail)
  - › Reconciliation
- Business Intelligence
  - › Reporting (Internal and Public)
  - › Data Analytics
  - › Data Mining
  - › Executive Dashboards
- Workforce Management
  - › Calendaring/Scheduling
  - › Route Management
  - › Resource Utilization
  - › Online Training
  - › Performance Evaluation
  - › Work Prioritization
- Mobile Work Force
  - › Mobile Inspection
  - › Data Synchronization
- Licensing and Permitting
  - › Application
  - › Licensure
  - › Denial
  - › Workflow



- › Renewals
- Geospatial Mapping
  - › Business Lookup
  - › Risk-based Analysis
  - › Invasive Species Tracking
- Document Management
  - › Master Document Configuration
  - › Custom Document Configuration
  - › Document Upload

#### ADMIN Requirements

- Refunds/disbursement (outside of scope though)
- Receivables
- Doc. Imaging
- Payments to Applicants

#### DoL Requirements

- Better print interfaces
- Doc. Management
- Workflow
- OCR
- Scanning
- Case Management
- Redaction Tools
- Supplementary things to consider: performance metrics and automated correspondence
- Would like to have card swipe ability
  - › Where card contains pertinent information (kind of like RFID tech)
    - Reduces paper processes
- Potential for Fingerprint Retention



## 5.4 APPENDIX 4 – LIST OF TECHNICAL REQUIREMENTS

### 5.4.1 INFRASTRUCTURE

- The enterprise RLMS Infrastructure should be cost-effective, flexible, and scalable
- The solution should utilize the existing Department hardware, software, storage, and network to the extent possible to maximize the prior investment in technology (e.g., GIS)
- System should provide integration between Department Data Centers and data hosted in the cloud, where applicable
- System should adhere to applicable Department and State of Florida information technology security standards, policies, and procedures
- System should provide access to the Divisions' API in order to better share and view important information and data
- The overall System should be able to be maintained by Department personnel after the deployment period and a reasonable period of knowledge transfer
- System should support integration with mobile device technology currently available in the market
- System should provide Data Analytics/Data Mining capabilities in a manner that does not degrade system operations or performance

### 5.4.2 USER ACCESS MANAGEMENT

- System should provide the ability to define user-based role access by Division, Office, and position title, as determined in the Application Development Standards document
- System should provide the capability for administrators and authorized business users to configure access management

### 5.4.3 MAINTENANCE

- System should allow maintenance activities that do not invalidate the upgrade path
- System should allow Department personnel to coordinate planned maintenance activities

### 5.4.4 DATA

- System should provide data segregation for Divisions and/or Offices defined by the Department
- System should provide data encryption capabilities for the database for specific Divisions and/or Offices defined by the Department



- System should provide Extract, Transform, and Load (ETL) capabilities for the Implementation
- The Solution must provide an enterprise data model for the solution

#### **5.4.5 DISASTER RECOVERY**

- System must provide Disaster Recovery capabilities with negotiated SLAs within agreed upon timeframes to return to full operations
- System must provide Data Backups with frequency and retention period defined by the Department

#### **5.4.6 TECHNOLOGY ROADMAP**

- System should provide foundational releases that do not impact any existing customizations

The Vendor should provide annual and quarterly advance communication for upcoming products and enhancements.

2024 Regulatory Expenditure Portfolio Profile		Regulatory Expenditure Profile										Regulatory Expenditure Profile										Regulatory Expenditure Profile										Regulatory Expenditure Profile									
Regulatory Expenditure Category	Regulatory Expenditure Sub-Category	Regulatory Expenditure Item	Regulatory Expenditure Description	Regulatory Expenditure Type	Regulatory Expenditure Status	Regulatory Expenditure Start Date	Regulatory Expenditure End Date	Regulatory Expenditure Duration	Regulatory Expenditure Frequency	Regulatory Expenditure Priority	Regulatory Expenditure Impact	Regulatory Expenditure Cost	Regulatory Expenditure Benefit	Regulatory Expenditure Risk	Regulatory Expenditure Compliance	Regulatory Expenditure Reporting	Regulatory Expenditure Monitoring	Regulatory Expenditure Evaluation	Regulatory Expenditure Review	Regulatory Expenditure Update	Regulatory Expenditure Approval	Regulatory Expenditure Implementation	Regulatory Expenditure Enforcement	Regulatory Expenditure Dispute Resolution	Regulatory Expenditure Appeal	Regulatory Expenditure Litigation	Regulatory Expenditure Arbitration	Regulatory Expenditure Mediation	Regulatory Expenditure Conciliation	Regulatory Expenditure Reconciliation	Regulatory Expenditure Settlement	Regulatory Expenditure Final Disposition	Regulatory Expenditure Case Closure								
Regulatory Expenditure Category 1	Regulatory Expenditure Sub-Category 1	Regulatory Expenditure Item 1	Regulatory Expenditure Description 1	Regulatory Expenditure Type 1	Regulatory Expenditure Status 1	Regulatory Expenditure Start Date 1	Regulatory Expenditure End Date 1	Regulatory Expenditure Duration 1	Regulatory Expenditure Frequency 1	Regulatory Expenditure Priority 1	Regulatory Expenditure Impact 1	Regulatory Expenditure Cost 1	Regulatory Expenditure Benefit 1	Regulatory Expenditure Risk 1	Regulatory Expenditure Compliance 1	Regulatory Expenditure Reporting 1	Regulatory Expenditure Monitoring 1	Regulatory Expenditure Evaluation 1	Regulatory Expenditure Review 1	Regulatory Expenditure Update 1	Regulatory Expenditure Approval 1	Regulatory Expenditure Implementation 1	Regulatory Expenditure Enforcement 1	Regulatory Expenditure Dispute Resolution 1	Regulatory Expenditure Appeal 1	Regulatory Expenditure Litigation 1	Regulatory Expenditure Arbitration 1	Regulatory Expenditure Mediation 1	Regulatory Expenditure Conciliation 1	Regulatory Expenditure Reconciliation 1	Regulatory Expenditure Settlement 1	Regulatory Expenditure Final Disposition 1	Regulatory Expenditure Case Closure 1								



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FDACS Regulatory Program Business Processes (Manual Processes)																								
Department Organization		Business Function			Data Collection and Forms				Regulatory Activity				Fee and Revenue Handling				Processing volume				Business Categorization		Data Confidentiality	Business Process Documentation
Division / Office	Bureau(s)	Business Program	Business or Professional Categories Regulated by the Program Area	Brief Description of Business Process	Data Collection Method (Means of Receiving and Managing Information)	Name and Identifying Number of Required Form(s)	Location of Form(s)	Correspondence Tracking Method	Regulatory Type (Certification-C, License-L, Permit-P)	Authority - Cooperative Agreement or Statute	Required Inspections, Reviews, Audits, or Investigations	e-Commerce Component	Payment Type Fee-F, Renewal-R	Penalty	Certifications-C Licenses-L Permits-P Registrations-R (Per Fiscal Year)	Total Number of Business Entries Regulated Per Past Fiscal Year	# New Applications per Month / Fiscal Year (Past 3 Years)	# Cancellations per Month / Fiscal Year (Past 3 Years)	Average Time to Process (Past 3 Years)	Business Identifier Assigned	SIC (Standard Industrial Classification) or NAICS (North American Industrial Classification System)	Data Confidentiality (Is data confidential?)	Existing Business Process Documentation	
Agricultural Environmental Services	Bureau of Agricultural Environmental Laboratories	Feed	Certified Feed Laboratories	Certified laboratories apply for or renew annual certifications to receive and analyze regulatory feed samples in support of Chapter 580, F.S. Any laboratory wanting to be certified by the department in any of the testing categories must complete and return an application with a \$100 application fee and a \$300 fee for each of the desired certifications. The department shall mail a certificate for each certification granted to the laboratory to signify that administrative requirements have been met.	Requests are received through the mail or email and the information is stored in an EXCEL spreadsheet and files.	FDACS-13401	Provided upon contract execution.	EXCEL spreadsheet- information is manually entered into spreadsheet by BAEL staff.	C	Chapter 580 F.S. and 56-3 FAC	Laboratories are certified to receive and analyze regulatory feed samples; certified laboratories may be audited by the Department	Fees can be paid using Revenue Online Collection or by check	F and R	Any renewal received after the expiration date on the certificate shall be accompanied by a \$50 late charge. Any renewal received 30 days or more beyond the expiration date on the certificate shall be returned to the laboratory, and the laboratory shall apply to the department as if it were the initial application for certification.	5 C	5	0	0	6 weeks	Company Name	N/A	no	no	
	Bureau of Entomology and Pest Control	Mosquito Control	Mosquito Control Districts		Electronically through handheld/electronic devices	13650; 13652; 13663; 13666	13650; 13652; 13663; 13666	All correspondence is filed alphabetically by Mosquito District name	O - Mosquito recordkeeping	Ch 388	Annual program fiscal financial audits	http://www.freshfromflorida.com/NO-Environments-Offices/Agricultural-Environmental-Services/Business-Services/Mosquito-Control/Business-Approved-Mosquito-Control-Program	NO	Subject to loss of Waste Tire Fund allocation	0 - 65 Mosquito District	65	65	0	Estimated that it takes District 2 hours per month to complete and complete forms (submitted monthly). Takes Staff 1.5 weeks to compile all data from all districts	Name assigned by Program Manager	N/A	Not available	See Document Inventory	
	BEPC	Pest Control	Pest Control	BEPC Case File Tracking	Electronic case files manually reviewed and data input into spreadsheet	Forms mandated by Administration and Legal Counsel office	Provided upon contract execution.	Date stamping upon receipt; reviewing spreadsheet	L; C	CH 482, F.S.; CH 388, F.S.; CH 5E-14, F.A.C.; CH 5E-13, F.A.C.	Interfaces with AGENCY CLERK's office	Finance & Accounting ROC system	YES - Administrative Fine	4,245 companies; employing 29,970 persons and approx 12,500 limited certificate holders	FY10/11 - 3684 FY11/12 - 3483 FY12/13 - 3449	FY10/11 - 41/mo FY11/12 - 31.5/mo FY12/13 - 47/mo (Actions Taken)	FY10/11 - 5/mo FY11/12 - 3/mo FY12/13 - 4/mo (Dismissals)	Varies Considerably - if no action taken - 2.5 hrs; if action taken 60 to 90 days (mandatory 21 day response period)	Issued against the Credential number assigned by Bureau; if no credential - than directly to corporations or individual by name - Each case file assigned a unique case file number by Bureau AND Agency Clerk's office	N/A	While administrative action is in process, data is restricted. Upon completion of action, all records become public.	YES - Enforcement SOP manual in BEPC SOP folder		
Animal Industry		USDA Disease Free Certificate (Horse and Swine)																						
Consumer Services	Bureau of Standards	Administrative Processes	N/A	All administrative tasks required to support the bureau's regulatory portfolio	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Yes - Process diagram	
Fruit and Vegetables	Bureau of Technical Control, Director's Office	Fruit and Vegetable Inspection and Enforcement	Growers/handlers/packers/shippers of tomatoes	Applicant completes appropriate form to become or maintain registration or permit	Applicant has to apply/renew a registration/permit using an application form.	DACS-07151 (05/11) DACS-07155 (12/10)	Provided upon contract execution.		P / R	5G-6, F.A.C	T-GAP audit are required annually	ROC	\$100.00 annually - R	229	20/month; 200/year	0/month; 2/year	1.5 Hours	Unique Identifier	N/A					
	Bureau of Technical Control, Director's Office	Fruit and Vegetable Inspection and Enforcement	Packers of citrus required to use extractor, others may elect to use for testing	Division sub-leases extraction equipment to applicant (Fruit and Vegetable 2700 (Brown) Extractor Lease); previous applicants automatically assigned, new applicants request extractor by email or letter.	Letter or email for new applicants, sub-leases entered into and maintained in AIMS; manual invoice billing; Remedy tracks current users, deliveries and pickups	State Test Extractor Sub-Lease Manual Invoice DACS-07066	Provided upon contract execution.		O	601.10(1), (7) FS 601.24 FS	Must meet test room requirements and installation specifications	N/A	F - \$2151.00 / yr	N/A	75	68	0/1	0/2	1 Hour	Unique Identifier	N/A	N/A	no	
	Bureau of Technical Control, Director's Office	Fruit and Vegetable Inspection and Enforcement	Processors of citrus required to use extractor, others may elect to use for testing	Division sub-leases extraction equipment to applicant (Fruit and Vegetable 0918 (JBT) Extractor Lease); previous applicants automatically assigned; Remedy tracks current users, deliveries and pickups	Letter or email for new applicants, sub-leases entered into and maintained in AIMS; manual invoice billing; Remedy tracks current users, deliveries and pickups	State Test Extractor Sub-Lease Manual Invoice DACS-07066	Provided upon contract execution.		O	601.10(1), (7) FS 601.24 FS	Must meet test room requirements and installation specifications	N/A	F - \$18,876.00 / yr	N/A	22	17	0/0	0/1	1 Hour	Unique Identifier	N/A	N/A	no	
Marketing and Development	State Markets	County Fairs	Fair associations chartered under 616 F.S.	Annual Fair Permit	Hardcopy by mail	Fair Permit 06100	Web site	S2 P	P	616 F.S.	F	N/A	N	N/A	52	52	0	1 N/A	N/A	N	N/A	No	No	
	Farm Winery Program	Florida Farm Wineries	Wineries apply to FDACS for certification	FDACS communicates with industry by email and phone; wineries mail in the	Application for Florida Farm Winery Certification; FDACS	FDACS Intranet; FDACS website		C		FS 599.004	No	N/A	F & R	No	C - 1 to 2	currently there are 24 certified farm	1 to 2 per year	0 range is too wide to express average	N/A	N/A	No	No		



Summary of Major Categories (Applications)

Division	Application Name	System Interactions / Dependencies							Regulatory Type					Compliance Type			
		Fingerprints	RRAS (REV)	Public Payment Portal	Other FDACS System(s)	Other State System(s)	National / Federal System	Document Imaging System	License	Permit	Registration	Certifications	Other (Filing, etc.)	Inspections	Audits	Reviews	Investigations
<b>Administration</b>																	
<b>Agricultural Environmental Services</b>	AES Laboratory Information Management System (AES-LIMS)		x	x					x		x						
	Agricultural Environmental Services Suntrack System		x	x				x	x		x						
	Agricultural Environmental Services Suntrack System DOI Database		x	x				x				x					
	Aircraft Registration Database									x	x						x
	Compliance DB30 Database			x	x								x				x
	EIS - AES Image Applications				x												
	Electronic Fumigation Notice Submissions			x	x					x							
	Pesticide Applicator Continuing Education Units			x	x					x							
	Registration Tracking System		x	x	x			x		x						x	x
<b>Agricultural Law Enforcement</b>	ACISS Case Management						x						x				
	Bill Of Lading Scanning System			?	x								x				
	Commerce Transport Imaging System				x								x				
	Tag Recognition System												x				
<b>Agriculture Water Policy</b>	Best Management Practices Tracking System (BMPTS; voluntary participation)												x				
<b>Animal Industry</b>	Animal Industry Florida Poultry Database										x						
	Animal Industry Laboratory Information Management System																
	Daily Activity Report																x
	Garbage Feeders Database			x				x									
	Master Brand Record			x							x						x
	Master Cervidae Herd Plan/Permits										x						
	Master Equine Extension			x						x							
<b>Aquaculture</b>	Aquacore Information System			x								x					
	Aquaculture Certification Program			x													
	Aquaculture Lease Database			x									x				
	Apalachicola Bay Oyster Harvesting License			x					x								x
	Shellfish Shippers Database																
<b>Consumer Services</b>	LIMS - Anti-freeze and Brake fluid			x	x												
	Metrolgy (metered devices)			x													
	DOCS - Business Opportunities Franchises		x	x													
	DOCS - Continuing Education Provider		x	x													
	DOCS - Do Not Call List		x	x													
	DOCS - Game Promotion		x	x													
	DOCS - Health Studios		x	x													
	DOCS - Intrastate Movers		x	x													
	DOCS - Mediation and Enforcement		x	x													
	DOCS (and Access) - Meter Mechanics																
	DOCS - Motor Vehicle Repair		x	x													
	DOCS - Pawnshops		x	x													
	DOCS - Petroleum (wholesale and retail)																
	DOCS - Professional Surveyors and Mappers		x	x													
	DOCS - Scales and Other Measuring Devices (inspection results; excluding petroleum; including wholesale and retail)		x	x													
	DOCS - Sellers of Travel		x	x													
	DOCS - Solicitation of Contributions		x	x													
	DOCS - Telemarketing		x	x													
	DOCS - Weights and Measure Permitting System (permitting)		x	x													
	Fair Ride Database			x													
	LP Gas		x	x													
<b>Florida Forest Service</b>	Florida Fire Management Information System					x	x										
<b>Food Safety</b>	Document Control and Training Tracking																
	Food Inspection Management System (FIMS)		x	x													
	Food Safety Laboratory Information Management (FSLIMS)																
	Regulatory Information Management System (Dairy)			x													
<b>Fruit and Vegetables</b>	Brix Acid Unit System																
	CitraNet			x	x												
	EQUIP			x													
	FreshNet																
	Fruit and Vegetable System--Processors, Growers, Haulers			x	x												
	Fruit and Vegetable System--Citrus Dealers			x	x												
	Fruit and Vegetables System--Growers, handlers, packers, shippers			x	x												
	Fruit and Vegetables--Growers, handlers, packers, shippers (Accounts receivable)																
	Fruit and Vegetables-- Growers, handlers, packers, shippers (Fiscal)																
	Fruit and Vegetables--Growers, handlers, packers, shippers (Inspection and personnel)																
	Fruit and Vegetables--Growers, handlers, packers, shippers of fresh citrus (Statistics)																
	Mobile Inspection Program (Tomatoes)			x													
	Shell Stock, MicroMation (Peanuts)																
<b>Licensing</b>	Concealed Weapons Information System (beta)		x														
	Licensing Reflections System		x	x													
	Imaging Business and Process Management (EDMS)																
	Web-based Fast Track System			x													
<b>Marketing and Development</b>	License and Bond System																
<b>Plant Industry</b>	Citrus Budwood Database			x	x												
	Citrus Germplasm Introduction System																
	Plant Inspection Trust Revenue System			x	x												
	Pest Incidence Control System																
	Laboratory Identification Sample Tracking System																
	Agricultural Geospatial and Tabular Data Application			x													

**FLORIDA DEPARTMENT OF AGRICULTURE AND  
CONSUMER SERVICES**

**RLMS PRE-DDI PROJECT**

*Business Process Re-engineering Plan  
Deliverable*

Date: 2/23/2016  
Version: 100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
11/17/2015	North Highland	0.10	Initial Deliverable Submission
12/03/2015	North Highland	0.20	Final Deliverable Submission
12/18/2015	North Highland	0.21	Updated Final Deliverable per FDACS Comments
12/21/2015	North Highland	0.22	Updated Final Deliverable
2/23/2016	FDACS	100	Updated by FDACS Review Team and Baseline

### Quality Review

NAME	ROLE	DATE
Tad McDonald	Peer Review	11/9/2015
Drew Evers	QA Review	11/13/2015
FDACS PPMO	Initial Deliverable Review	11/30/2015
FDACS PPMO	Final Deliverable Review	12/18/2015



## SECTION 1 OVERVIEW

The Florida Department of Agriculture and Consumer Services (FDACS, department) has undertaken a major program, the Regulatory Lifecycle Management System (RLMS), to replace current manual and automated processes supporting its regulatory functions and licensing in addition to administrative and disciplinary responsibilities. RLMS will provide the foundation for future regulatory activities.

As part of the RLMS initiative, teams have engaged with FDACS staff to research, analyze, and assess current business processes (e.g., processing an application for a new license) to identify potential process improvements (current, as well as in the future) and to identify any gaps between the current environment and a future state business model.

The business process review activities have led to the creation of this Business Process Re-engineering Plan (BPRP). The BPRP captures and documents core activities and processes that will be performed by applicants, licensees, FDACS staff, and external agencies to support the FDACS regulatory mission.

This plan is not intended to fully document every process and activity which may be part of a future RLMS. Instead, this plan directly supports the creation of functional and non-functional requirements (functional requirements describe business needs and processes; non-functional requirements refer to enabling technologies and assets which support the business processes) which will be used to communicate FDACS's needs to potential vendors during the project's procurement phase.

It was not practical to perform a complete analysis of every FDACS regulatory process across every division. The Division of Licensing (DoL) was selected to begin the BPRP process, with analysis of the various other divisions (representing the "enterprise") taking place once the plan/approach is approved. The final requirements used to support the vendor procurement phase will reflect the RLMS needs for FDACS, not just the DoL.

The next section in this document, 2 Approach, explains in greater detail the techniques, methodologies, and activities used to create this document.

## SECTION 2 APPROACH

This document represents information gathered through staff interviews, observation of actual work in progress, independent research, ad-hoc information gathering sessions, document reviews, and an understanding of current and proposed statutes, rules, policies, and procedures.

The exhibit below highlights the key activities conducted to capture the business processes performed by the staff within the DoL.





KEY ACTIVITY	ACTIVITY DESCRIPTION
Gathered Existing Data	Compiled and reviewed existing process documentation and applications which support current operations.
Analyzed Data	Analyzed existing documentation, established a general understanding of existing processes, and identified key questions for interviews. Began documenting and preparing for interviews.
Observed Processes	Observed operational processes in their current environment. Documented observations, reviewed forms and procedures, and began to draft initial process diagrams and activity descriptions.
Conducted Interviews	Conducted interviews with process owners and subject matter experts (SME) which led to process improvement suggestions by stakeholders.
Developed BPMN Process Diagrams	Created Business Process Model and Notation (BPMN) process diagrams using the information gathered during interviews, current process observations, and data analysis.
Conducted Workshops	Conducted workshops to review and discuss each process in detail with process owners, SMEs, and executive leadership. The sessions allowed the various stakeholders to observe how other groups execute processes. It is common during these workshops to identify duplicative activities and the same tasks being executed in different ways by numerous groups. Based on the outputs of these sessions, updated the process documentation.
Validated Current State Process Diagrams	Conducted follow-up meetings with process owners and SMEs to validate the current state processes.

**Exhibit 1: Approach Key Activities**

### SECTION 3 SUMMARY OF PROCESSES

This section provides an overview of the BPMN language and flow diagrams used to document process flows along with a summary diagram of the underlying process maps from the respective attachments described below.



### 3.1 BUSINESS PROCESS MODELING NOTATION

The workflow diagrams included in this document were developed using BPMN standards. The Business Process Management Initiative developed BPMN and introduced the first version in May 2004.

The primary goal of the BPMN effort is to provide a notation that is readily understandable by all business users, from the business analysts who create the initial drafts of the processes, to the technical developers responsible for implementing the technology that will perform those processes, and finally, to the business people who will manage and monitor those processes.

A workflow diagram is based on a flowcharting technique tailored for creating graphical models of business processes. A workflow diagram, then, is a network of graphical objects which are the activities and flow controls that define their order of performance organized by the actor responsible for the activity.

A workflow diagram is made up of a set of graphical elements. The elements were selected to be distinguishable from each other and to utilize shapes that are familiar to most modelers. For example, activities are rectangles and decisions are diamonds. It should be emphasized that one of the drivers for the development of BPMN was to create a simple mechanism for creating business process models while at the same time being able to handle the complexity inherent to business processes.

Symbol	Description
	<b>"Swim Lane"</b> All activities in this vertical lane are carried out by the same individual, organization, or group
	<b>Activity Block</b> Contains one or more tasks
	This activity repeats
	This activity contains one or more additional activities
	Sequence; the direction of work flow from one activity to the next
	Messages, including; face-to-face, phone, mail, eMail
	<b>Start Event</b> Where a sub-process begins without a link to another sub-process
	<b>End Event</b> Where a sub-process ends without a link to another sub-process

### 3.2 FUTURE STATE OVERVIEW

The regulatory functions and licensing processes in a future RLMS fall into two broad categories: pre-licensure and post-licensure. In general, pre-licensure refers to activities which take place before a license or permit is issued (or denied); post-licensure is concerned with activities which occur after a license or permit has been issued. There is some overlap between pre- and post-license areas; for instance, someone may apply for a license but the issuance depends on a relationship between an applicant and current licensee (e.g., private investigator interns).

Exhibit 2, Future State Overview Diagram, depicts the major processes which are part of RLMS. As shown, pre-licensure activities include Intake (applications are received), Fiscal (financial instruments are processed), Verification (the specific content of an application is reviewed), and Research & Resolve (errors and omissions are addressed). The primary outcome of pre-licensure processing is to determine whether or not to issue or renewal.

Post-licensure includes processes related to compliance, inspection, and enforcement. While these activities are usually associated with regulated individuals or agencies, they may include regulatory (or criminal) investigations and legal actions when it is discovered a person or

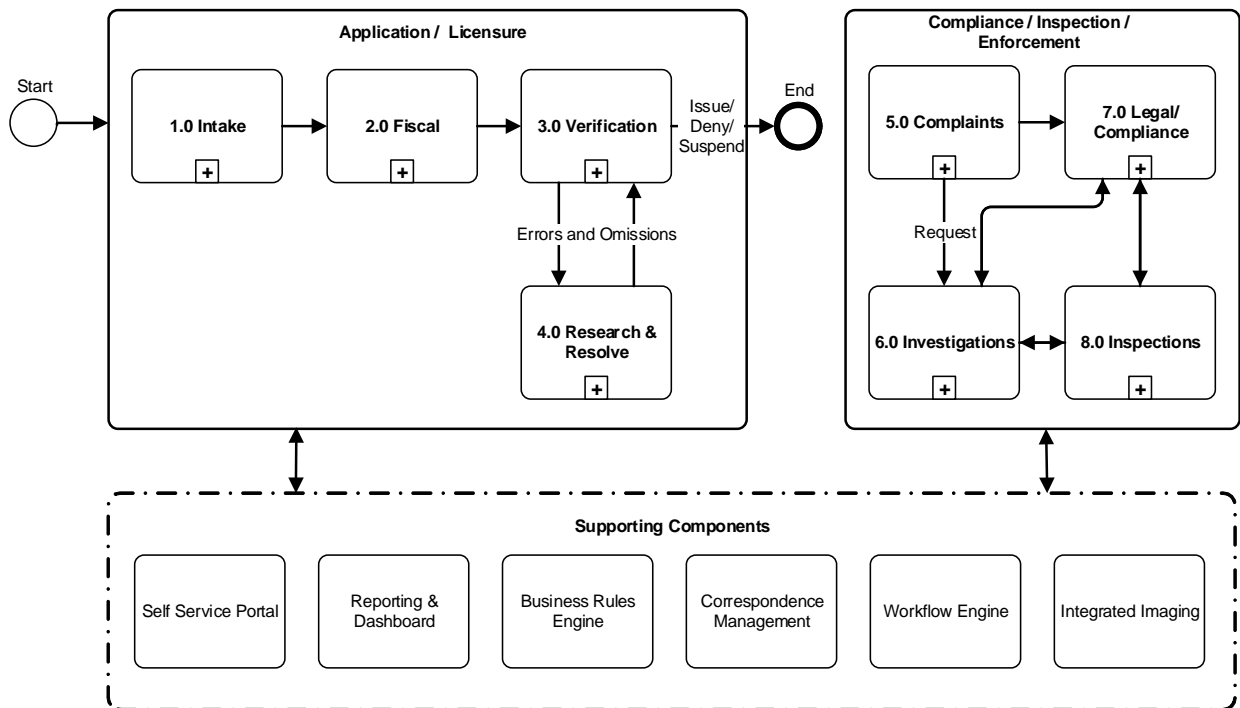


business is engaging in activities without the license or permit required for such activities. The outcome of post-licensure processes could involve all manner of things including, but not limited to: administrative actions, license suspensions/revocations, fines, and civil or criminal prosecution.

The final group of processes shown in Exhibit 2, Future State Overview Diagram, are commonly referred to as non-functional components. The pre- and post-licensure processes describe activities which reflect the nature of the business mission. Part of the FDACS mission is to issue and oversee regulatory functions and licensing. Non-functional components provide the mechanisms necessary to perform the business-related functions. As an example, a license holder may use a self-service portal to submit a change of address on one of their licenses without the need for any staff intervention.

Each of the major components of the future RLMS system are described in further detail below.

### 3.2.1 FUTURE STATE OVERVIEW DIAGRAM



**Exhibit 2: Future State Overview Diagram**

### 3.2.2 FUTURE STATE CORE ACTIVITY DESCRIPTIONS

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
1.0	Intake	Intake is associated with the receipt of applications, supporting documents, payments, Election of Rights (EOR), and various other pieces of correspondence which may be received by FDACS. The future Intake process (online, electronic) described in this document represents a significant change in the way FDACS receives and processes applications today (paper intensive process).	Applicants Licensees FDACS
2.0	Fiscal	<p>The purpose of the current state Fiscal process is to ensure that all funds due to the department and/or to the state are properly assessed, collected, safeguarded, accounted for within the state accounting system, recorded and deposited in accordance with the state's banking contract and applicable state laws, regulations and rules and FDACS internal policies and procedures.</p> <p>The future state Fiscal process will unify the revenue collection of regulatory license and permit fees within the RLMS application while continuing to ensure that all funds due to the department and/or to the state are properly assessed, collected, safeguarded, accounted for, within the state accounting systems, recorded and deposited in accordance with the state's banking contract and applicable state laws, regulations and rules and FDACS internal policies and procedures.</p> <p>Regardless of the payment type (electronic or paper), payments received will be acknowledged and recorded within the applicable state laws, regulations and rules, banking regulatory guidelines and FDACS internal policies and procedures.</p>	FDACS Applicants Licensees Credit Card Provider (Includes e-checks)
3.0	Verification	Verification includes the tasks associated with verifying application data, laboratory information, pre-inspection reports and any license-specific supporting document(s) to determine what, if anything, is inaccurate (errors) or missing (omissions).	FDACS
4.0	Research & Resolve	The Research & Resolve process describes activities to research potential errors and omissions discovered ("flagged") in the 3.0 Verification process. The intent is to use additional information resources and techniques to resolve any outstanding issues associated with an application which prevent a license or permit from being issued or renewed.	Applicants Licensees FDACS External Entities
5.0	Complaints	The Complaints process describes the tasks associated with receiving a complaint and determining what further action, if any, is appropriate to resolve the complaint.	Applicants Licensees FDACS External Entities
6.0	Investigations	The Division of Agricultural Law Enforcement (AgLaw) conducts inspections and investigations of both regulatory and criminal activities within its purview. The Inspection	Applicants Licensees FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		process is described in process 8.0 Inspections; the regulatory and criminal Investigation process is documented here.	External Entities
7.0	Legal/ Compliance	Legal describes processes related to identifying and addressing legal issues associated with regulatory activities and includes activities conducted by both attorney and non-attorney staff pursuant to discipline established in Chapter 120, F.S.	Applicants Licensees FDACS
8.0	Inspections	The Inspection process describes the tasks associated with conducting an inspection and determining what further action (e.g., levying a fine or issuing a Notice of Noncompliance), if any, may be appropriate. Inspections may be required as part of an application process, or may be required within a certain timeframe after issuance, or may be ad-hoc in nature and completed as time or circumstances permit.	Applicants Licensees FDACS

**Exhibit 3: Process Activities**

**3.2.3 FUTURE STATE NON-FUNCTIONAL ACTIVITY DESCRIPTIONS**

Non-functional components are enabling technologies which will allow FDACS to operate in a more efficient and cost effective manner while coincidentally maximizing the customer service experience for applicants, licensees, and other parties who will interact with RLMS in the future.

As noted previously, non-functional components provide the mechanisms necessary to perform or support business functions. For instance, the Workflow Engine controls the movement of a work item through the overall license application process.

ACTIVITY LABEL	ACTIVITY DESCRIPTION
Self Service Portal	<p>A Self-service portal provides an online option for applicants and licensees to interact with FDACS. Some potential activities include, but are not limited to: applying for a license, uploading a response to an Errors and Omissions (E&amp;O) letter, uploading criminal history or name change documentation, requesting a hearing, providing a change of address, renewing an existing license, filing an Employee Action Report (EAR), checking the status of an application, and paying any amount due for a license or fine.</p> <p>The Self-service portal functionality allows FDACS customers to help themselves, and should significantly reduce call volumes in FDACS call centers along with paper-based correspondence/payments received in the mail rooms.</p>
Reporting & Dashboard	A complete set of RLMS-related reports (standard management reports) is envisioned for the future system along with an ad-hoc reporting feature which allows authorized users to define and generate a report any time.



ACTIVITY LABEL	ACTIVITY DESCRIPTION
	<p>A Dashboard refers to a graphical representation of an operation. For instance, at any time (a “snapshot” in time), a supervisor, manager, or executive may be presented with information which shows the total number of license applications by type in the verification process and how long each has been processed.</p> <p>A configurable Dashboard provides an ability to see, at any time, how RLMS is functioning to meet FDACS’s needs.</p>
Business Rule Engine	Business rules dictate the parameters associated with the Workflow Engine (e.g., which application approvals require supervisory review) and embody the general processing rules which govern a particular activity.
Correspondence Management	A Correspondence Management tool allows for the creation and management of standardized templates and forms to significantly reduce the need to draft correspondence, and to ensure communication is consistent and clear.
Workflow Engine	A Workflow Engine controls the movement of a work item through the overall RLMS process. A Workflow Engine, in conjunction with a Business Rule Engine, will determine when and where work is routed.
Integrated Imaging	An image repository into which documents are scanned, uploaded, and indexed for subsequent use. The future RLMS solution will provide similar functionality.

**Exhibit 4: Non-Functional Activities**

**SECTION 4 OPPORTUNITIES FOR IMPROVEMENT**

This section contains an overview of potential opportunities to improve business processing in both the short-term (“quick wins”) and long-term (realized in the future state environment). These opportunities were developed from information gathered through staff interviews, ad-hoc information gathering sessions, document reviews, and an understanding of current and proposed statutes, rules, policies, and procedures.

Exhibit 5 lists process improvement opportunities identified.

OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
<p>The department could procure an FBI-approved high-speed scanner to scan the entire paper application package. The paper 10-print card image is routed to Florida Department of Law Enforcement (FDLE), the paper check image is routed through the allowable bank interchanges, and the application is uploaded into a workflow tool.</p>	Policy	<p>One Pass Scanning will avoid the separate scanning of 10-print cards and paper checks currently being performed by DoL, reducing bottlenecks in processing which will reduce the overall time to issuance. This implementation will also save department staff time as each document will need to be physically handled and scanned only once. This will also increase accuracy as documents will require fewer handoffs.</p>



OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
Identify, address, and resolve errors out of the system as soon as practical.	Policy	Policy could dictate a change in processing to ensure errors and omissions are identified earlier in the validation/verification processes.
Provide auto-cropping tools to all staff who are required to process photographs, including Fast Track.	Policy	Staff will save time if the photo cropping activity is automated rather than having staff manipulate the cropping box through trial and error.
Barcode all outgoing and incoming communications.	Policy	Barcodes will allow immediate and accurate routing of all correspondence upon receipt in the mailroom. No staff resources would be required to research and route incoming correspondence.
Assess all existing communications (documents, letters, website); rewrite in clear and simple language, as necessary; re-write applications and forms to ensure content and intent are consistent with prevailing policies and appropriate business rules. If there is disqualifying information on a form, address that information first so subsequent processing will become unnecessary.	Policy	Clear, consistent communications with customers will reduce phone calls, emails, letters, etc. from customers who don't understand what they're being told or what they are being asked to do.
Establish automated interfaces and expanded Memoranda of Understanding (MOUs) with external agencies to allow staff to perform direct research (e.g., Department of State for company name lookups, SAVE for aliens, Comprehensive Case Information System (CCIS) for dispositions).	Policy	Automating interfaces between myriad external entities will greatly enhance the application intake/verification/research and resolve processes, reducing turnaround time for applicants, reducing instances requiring manual intervention by external agencies or applicants, and reducing staff time spent preparing and receiving external information requests. Keeping as much of the information gathering in-house as possible will reduce the department's reliance on external agencies for data requests, thereby reducing the total time applicants spend waiting on their application to be processed. The consolidation of information gathering will also enable tighter quality and audit capabilities within the department. The establishment of expanded MOUs will authorize staff to perform more research functions, while the establishment of direct interfaces, within security guidelines, will allow the system with direct access to needed external information.



OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
Ensure existing system forms match existing paper forms (e.g., content and order of online application Optical Character Recognition (OCR) should match the current paper application).	Policy	Staff should not have to search a form or an application screen for a piece of information when comparing/ processing a paper artifact and a computer screen. Modify the screens or the forms to match (human engineering factor).
Drive customers to electronic systems/processes (e.g., use Regional Offices and Tax Collectors for applications rather than paper, encourage electronic payment methods). Consider a marketing campaign to explain how much faster a customer will be assisted if they submit an electronic application.	Policy	The error rates for applications processed using Fast Track or Concealed Weapon Intake System (CWIS) are less than 1%. Paper applications have an error rate of greater than 20%. Tremendous savings in terms of cost, staff resources, and application processing time will be realized by shifting more paper processing to automated environments.
Require that training centers/instructors submit training records. Regulated programs only.	Rule	Staff currently spends time trying to validate training certifications. Requiring that recognized (licensed) trainers submit information about everyone they train would reduce staff time/effort since each new applicant's training achievements would be available online for automated verification.
DoL reported that it currently uses a report (the "Monday Report") to ensure that staff views every document in an application package before a license is issued. The Monday Report lists staff that have issued licenses prior to viewing each document associated with an issued license. As a result, staff are spending extra time opening and viewing documents multiple times to ensure they do not end up on the Monday Report. DoL has explored the ability to proactively prevent the issuance of a license until all documents have been viewed but current solutions do not allow this.	Policy	This will prevent mistakes at the onset and allow faster issuance of a license.
Ensure existing system forms like the Error and Omissions (EO) checklist mirror paper applications in content and order.	Policy	This will reduce the time staff spends verifying applications. Faster processing will allow faster issuance of a license.





OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
Establish time limits based on the regulatory program regarding applicant response to Error and Omissions (E&O) letters, and automatically send denial letters after expiration.	Policy	Reduces the number of stale applications in the queue backlog. Reduces the staff time spent contacting applicants about aging applications.
Once an investigator has issued an administrative action in the field, he/she should not be required to monitor whether the licensee has paid the associated fine.	Policy	Tracking the payment of fines is an administrative financial activity thus should be monitored and addressed within the Bureau of Regulatory Enforcement (BRE).

**Exhibit 5: Process Improvement Opportunities**

**SECTION 5 GAP ANALYSIS**

This section contains the initial gap analysis between the current state and expected future state processes. Exhibit 6 lists gaps identified.

GAP DESCRIPTION	IMPACT
Tax Collectors can only process 790 applications.	The future state relies on applicants being able to access multiple venues to overcome technology barriers (e.g., access to scanners or photographic equipment or to fingerprinting devices) as well as geographic hurdles (i.e., there is a limited number of highly dispersed Regional Offices).
Lack of access to automation (geographic dispersal of Regional Offices, Tax Collectors); needs additional investigation.	Perceived lack of citizen/constituent/customer support.
License renewal payments could be processed using a coupon system, in which applicants may be required to mail paper payments with a coupon stub that may be scanned and applied to the respective application/action automatically.	A coupon system will greatly reduce the staff time required to process renewal paper payments. Accuracy of payment processing will increase. A similar coupon system is currently in use at the Division of Administration (DoA).
The department processes all electronic payments through E-Commerce Government Checkout (EGC) system. This creates a single interface from EGC to FDACS's revenue system (REV), through which all electronic financial transactions related to licenses flow.	The establishment of a single payment portal will reduce the risk of duplicate payments, reduce the number of User IDs and passwords the customer is required to have and improve customer service by establishing a single payment portal.
Customers have multiple payment portals (e-Gov Service Center, ROC, division's website) which at times is confusing to the customer.	The establishment of a single payment portal will reduce the risk of duplicate payments, reduce the number of User IDs and passwords the customer is required to have and improve customer service by establishing a single payment portal.



GAP DESCRIPTION	IMPACT
DoL currently does not have the capability to administer online examinations.	The future state Verification process requires online examination results to automatically feed into the RLMS system to determine license eligibility. The new Learning Management System (LMS) may potentially address this gap.
FDACS policies in the future may allow licenses to be printed in Regional Offices or Tax Collectors' offices where applicants may pick them up rather than have the licenses mailed.	Printing licenses in geographically dispersed offices may enhance customer experiences and be more cost-effective to the department. Today, concealed weapon licenses may be printed and issued in Regional Offices. Placing license printing machines in Tax Collector offices may be of benefit to the department (Note: the current driver's license machines in Tax Collector offices are essentially the same as the machines used to create concealed weapon permits).

**Exhibit 6: Gaps**

**SECTION 6 METRICS**

This section contains a list of key process and performance metrics which may be used to quantify the benefits realized between the current state and future state environment. Exhibit 7 lists metrics identified.

METRICS DESCRIPTION	FREQUENCY
Time to complete an application (online, paper), by license/permit type	Ad Hoc
Number of applications completed (online, paper), by license/permit type	Ad Hoc
Paper checks processed per labor hour	Daily
Percentage of payments processed online	Quarterly
Percentage of under/over payments	Quarterly
Percentage of NSF payments	Quarterly
Percentage of payments received online	Quarterly
Time elapsed from start of application to completing the application	Monthly
Time elapsed from receipt of complete application to issuance of license/renewal	Weekly
Number of error/omission flags set by type, per application	Weekly
Number of applications routed to <i>4.0 Research &amp; Resolve</i>	Weekly
Number of licenses issued	Weekly
Number of renewals issued	Monthly
Number of applications requiring written request for information	Quarterly
Number of E&O letters sent	Monthly
Time elapsed from issuance of E&O letter to receipt of E&O response	Monthly
Cost of sending E&O letter (i.e., postage)	Monthly
Average age of applications in queue	Quarterly
Number of applications able to be resolved per labor hour	Quarterly
Average turnaround time for application	Quarterly



METRICS DESCRIPTION	FREQUENCY
Number of total complaints received	Daily
Number of complaints filed via self-service portal (i.e., no staff intervention)	Daily
Number of complaints filed via phone	Daily
Number of complaints filed via paper/fax	Daily
Time elapsed from receipt of complaint to close of complaint	Monthly
Number of complaints routed to <i>6.0 Investigation</i>	Monthly
Number of complaints routed to <i>7.0 Legal/Compliance</i>	Monthly
Number of administrative actions taken as a result of a complaint	Quarterly
Administrative actions initiated by investigators	Monthly
Administrative actions modified or removed during supervisory reviews	Monthly
Cases referred to Legal, Criminal, State's Attorney	Monthly
Number of cases referred to State's Attorney which were declined for prosecution	Monthly
Number of inspections performed (by inspector, by date range, by type, by outcome)	Monthly
Number of inspections performed by license type	Monthly
Duration of an inspection (by inspector, by date range, by type, by outcome)	Monthly
Distance/time traveled from office to entity or from one entity to another	Monthly
Relation between inspection duration and the number of available personnel and/or office locations	Annually

**Exhibit 7: Metrics**

**SECTION 7 ANALYTICS AND REPORTS**

This section provides an overview of key analytics which are used to manage and report on the future state solution in real-time (e.g., a dashboard showing throughput of priority applications) or near real-time (e.g., ad-hoc reporting).

Exhibit 8 lists analytics and reports identified.

DESCRIPTION	FREQUENCY	TYPE
Publish Newsletter for the Industry (F.S. 493.6123). The Newsletter should contain the name and locality of any licensed or unlicensed person or agency against which the department has filed a final order relative to an administrative complaint and shall contain the final disposition.	Monthly	Statutory



DESCRIPTION	FREQUENCY	TYPE
Report on information concerning administrative complaints and disciplinary actions (F.S. 493.6125). Report should contain statistics and relevant information, by profession, for private investigators, recovery agents, and private security officers which details: (1) The number of complaints received and investigated. (2) The number of complaints initiated and investigated by the department. (3) The disposition of each complaint. (4) The number of administrative complaints filed by the department. (5) The disposition of all administrative complaints. (6) A description of all disciplinary actions taken by profession.	Ad Hoc, Daily, Monthly, Annually	Statutory
Report on statistical information (F.S. 790(16)). The report should contain statistical information on the number of licenses issued, revoked, suspended, and denied.	Ad Hoc, Daily, Monthly, Annually	Statutory
Report on number of valid licenses by license type	Ad Hoc	Operational
Report Individual/agency licenses by county	Ad Hoc	Operational
Report on applications received	Ad Hoc	Operational
Report on valid licenses	Ad Hoc	Operational
Report on license holder profile	Ad Hoc	Operational
Bank settlement report	Daily	Financial
FLAIR statement report	Daily	Financial
Cost to FDACS of online vs. paper payment	Quarterly	Financial
Flag report – A report that tracks the type and count of error and omission flags set by the system (automatically) and by staff (manually).	Monthly	Management
License issuance report – A report that tracks the number of licenses/renewals issued by type.	Monthly	Management
Verification time – A report that tracks the average time elapsed from receipt of complete application to issuance of license/renewal.	Monthly	Management
Queue aging analysis report	Monthly	Management
Average time elapsed from receipt of complaint to close of complaint	Monthly	Management
Percentage of complaints filed via self-service portal (i.e., no staff intervention)	Monthly	Management
Percentage of complaints filed via phone	Monthly	Management
Percentage of complaints filed via paper/fax	Monthly	Management
Percentage of complaints accurately routed to <i>6.0 Investigation</i>	Monthly	Management
Percentage of complaints accurately routed to <i>7.0 Legal/Compliance</i>	Monthly	Management
Counts of cases by type (regulatory, criminal)	Monthly	Management
Cases assigned to each investigator (total, complete, aging reports)	Monthly	Management
Legal case report (opened, assigned, closed, timing)	Monthly	Management
Actions taken report (none, referred to hearing, referred to attorney and non attorney staff, time for direct research, time for additional research, referred for issuance)	Monthly	Management
External correspondence (number sent, responses, time for responses)	Monthly	Management



DESCRIPTION	FREQUENCY	TYPE
Compliance Inspection Report DACS-16034 (eff. 7/96)	Monthly	Management
New License Inspection Report DACS-16030 (eff. 7/96)	Monthly	Management
School Inspection Report DACS-16031 (eff. 6/95)	Monthly	Management
Report on regulatory response effectiveness based on distance/time traveled from office to entity or from one entity to another	Monthly	Management
Report on regulatory task accomplishment based on the number of available personnel and/or office locations	Annually	Management

**Exhibit 8: Analytics and Reports**

## SECTION 8 ATTACHMENTS

Each attachment documents a unique process and includes the following sections:

- Process Information
- Purpose of the Process
- Process Diagrams
- Process Activities
- Process Areas for Improvement
- Gaps
- Metrics
- Analytics and Reports
- Staff Interviewed

## ATTACHMENT 1 INTAKE PROCESS

### 1.1 PROCESS INFORMATION

Functional Area	Application/Licensure
Process	Intake
Owner	FDACS

**Exhibit 1: Process Area**

### 1.2 PURPOSE OF THE PROCESS

The future Intake process (online, electronic) described in this document represents a significant shift in the way the FDACS receives and processes license and permit applications today (substantial amounts of paper documents). However, the future state model still provides the infrastructure necessary to support paper-based applications. In other words, FDACS will be able to meet the needs of its customers regardless of the application method they choose.



One of the major changes introduced by the new Intake process is the concept of a single account. Many FDACS's customers are familiar with the concept of logging on to their online eBay or Amazon.com accounts and supplying demographic data (e.g., name, physical address, email address) and preferred payment methods (e.g., credit card, e-checks). The new Regulatory Lifecycle Management System (RLMS) will provide the capability to create online accounts which applicants and licensees may use to interact with FDACS in a secure environment, protected by user IDs, passwords and the usual security characteristics most FDACS customers have come to expect when dealing with commercial vendors in an online world. Account holders will also be allowed to select a preferred communication method (email, USPS mail, etc.), but all applicants will be highly encouraged to utilize electronic communications by pointing out the benefits associated with online interactions (e.g., faster processing of their application).

Another shift in the future state process involves the use of electronic communications (i.e., email) to support a secure communications environment in which FDACS may request, receive, and share information with its customers. Using a secure email environment in concert with an applicant's online account, FDACS can email a notice to an applicant that there is important information in their online account inbox (Note: FDACS will never send sensitive information directly to an applicant using email). Applicants can then log onto their secure online account and access the information.

Finally, the future Intake process envisions a self-service portal which, in conjunction with an online account, will allow consumers to apply for licenses, provide a change of address, make a payment, submit statutorily required reporting (e.g., Employee Action Reports), and a host of other functions without any need for FDACS staff intervention.

Moving to an online-centric model represents tremendous value to FDACS and its customers. An online application process can exert more control over the completion of an application (e.g., edits, pull-down menus, prevention of invalid entries) in real-time. There will be a substantial reduction in Error and Omission (E&O) letter mailings, as well as a reduction in the time it takes FDACS staff to interact with and process an application. The online application process will prevent errors (e.g., improperly formatted dates or phone numbers) from entering the system, accepting only complete application filings for further processing and validation (see *3.0 Verification*). The electronic application process will be demonstrably more efficient, leading directly to faster application processing times.

The reduction in postage costs will also be significant once applicants and the department have the ability to use email to support communications.

Since a large majority of applications will be processed online through inherently more accurate processes, staff resources may be shifted to address only the very complicated or special situations which arise in the regulatory process. Using staff knowledge and experience where it's most needed increases efficiency and creates an environment more conducive for staff to apply their unique skills.

Most importantly, the new RLMS will provide a more rewarding customer experience for the citizens of Florida.



#### Beginning Points:

- A paper application is received (as it is today) and OCR capabilities are significantly enhanced.
- An online application is submitted.

#### Ending Points:

- A complete application (all the required components for each application type) is received.

#### Assumptions:

- There will be significant improvements related to online lookup functions to support real-time application data validation (for example, requiring licensed firearms trainers to submit course completion information for each student would permit the system to validate an applicant's training without staff intervention or review).
- The Electronic Intake process ensures all the application parts necessary to make a "complete" application filing are present; subsequent validation processing (see *3.0 Verification*) determines if the information is correct and acceptable (see also the discussion labeled "**IMPORTANT**" below).
- Many applicants will not have the technology required to complete an application filing at their disposal. For example, we assume applicants do not have fingerprint scanners at home. Therefore, we identify other methods and locations available to applicants to complete application filings which require fingerprints and provide appointment times for those applicants at the point of submission.
- Incomplete paper application filings may enter the system and result in an errors and omissions letter requesting any missing component.

Note: The future state process diagram shown in section 1.3.1 below depicts the process flow for a common application type in the Division of Licensing (DoL): a concealed weapon license ("W"). It is not feasible at this point in the RLMS procurement lifecycle to document each and every license and permit along with their specific requirements. Instead, the reader is advised to consider the process is supported by the following general principles which may be applied to all license/permit types:

- Information is required about each applicant (individuals or agencies).
- Each application filing has associated with it a known set of acceptable (or unacceptable) responses/values; processing may be automated to a large degree.
- Applications may require supporting documents.
- The verification of application information/documents may require the assistance of organizations outside of FDACS.



**IMPORTANT:** The Intake process described in this document relies on a simple, yet major, change in the way FDACS will operate in the future. FDACS will only receive completed filings of electronic applications for processing. Paper applications must still be reviewed on receipt.

This means FDACS will require that an electronic application filing must include all its requisite parts before the department begins processing the application filing. A concealed weapon license application filing requires four pieces of information in addition to a completed application:

- A photograph
- A certification of training
- A set of fingerprints
- A payment

In the future, processing of complete electronic application filings will not begin until FDACS has in its possession all four pieces of a “W” application. However, the presence of all the pieces does not mean they are all correct or acceptable. For instance, applicants for “W” licenses are required to submit a photograph which adheres to certain guidelines and standards. While an applicant may submit a photograph with an application, the actual verification of the photograph (i.e., is it useable according to statutory guidelines) occurs subsequent to the Intake process (see *3.0 Verification*). This is a critical shift in the way FDACS does business today and may, initially, appear to unduly burden an applicant. However, there is no real change to the process when viewed from the perspective of what is required to process an application.

Today, FDACS accepts incomplete application filings and undertakes a highly manual and costly process to interact with each applicant in order to solicit the missing information or documents necessary to decide whether or not to issue a license/permit. FDACS requires a “complete” application filing.

In the future, FDACS’s need for a “complete” application filing does not change. The future state merely shifts the responsibility for providing full documentation to the applicant at the beginning of the process rather than having FDACS initiate numerous E&O letters to prompt applicants to submit mandated information and documents.

By requiring “complete” application filings from the outset, FDACS can focus on addressing “exceptions” and “special” cases rather than using valuable staff resources as they do today.





### 1.3 PROCESS DIAGRAMS

#### 1.3.1 FUTURE STATE PROCESS DIAGRAM

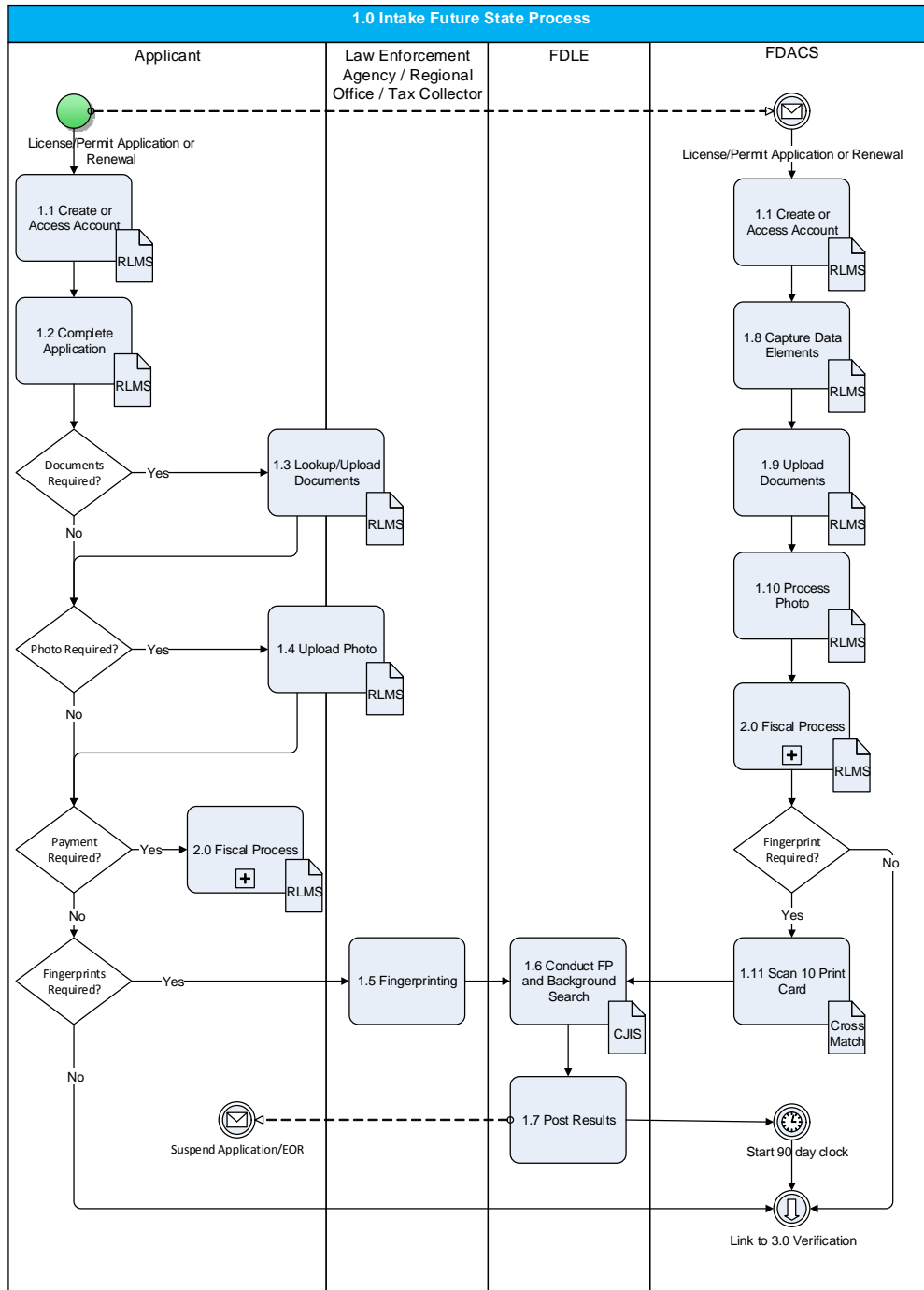


Exhibit 2: Process Diagram



### 1.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
1.1	Create or Access Account	<p>RLMS will provide the capability to create online accounts which applicants and licensees may use to interact with FDACS in a secure environment, protected by user IDs and passwords. All applicants will have an online account which captures demographic data (e.g., name, physical address, email address) and preferred payment methods (e.g., credit card or e-checks).</p> <p>If a paper application is received by FDACS, staff will access (if one exists) or create an account and input/complete an application on behalf of the applicant.</p>	Applicant FDACS
1.2	Complete Application	Applicants may select an option to create an application from the RLMS self-service portal and enter the information necessary to complete the particular application type (each application has its own format/content/requirements).	Applicant
1.3	Lookup/Upload Documents	<p>If supporting documents are required as part of a particular application, applicants may upload those documents during the application process.</p> <p>Some information may be available to RLMS in the online environment; RLMS will access the appropriate data repositories and populate the application or connect supporting documentation in real-time. For instance, if an examination is required for a given application, RLMS may access the FDACS Learning Management System (LMS) to determine if the applicant has successfully taken and passed the exam.</p> <p>Note: Applicants may not have access to scanners and other methods to upload documents as part of their applications. It is anticipated that access (and assistance) will be available in Regional Offices and Tax Collectors' offices.</p>	Applicant Regional Office Tax Collector
1.4	Upload Photo	<p>If a photograph is required for a particular license or permit, applicants are provided an opportunity to upload a photo as part of their application process.</p> <p>It is important to point out that RLMS won't be able to determine if a photograph meets the license/permit requirements (e.g., "W" licenses do not allow photographs of an applicant wearing a hat or sunglasses); the online process provides an opportunity to upload/transmit a picture.</p>	Applicant Regional Office Tax Collector



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		<p>The determination of a photograph's acceptability is made in the <i>3.0 Verification</i> process.</p> <p>Note: Applicants may not have access to scanners and other methods to upload photographs as part of their applications. It is anticipated that access (and assistance) will be available in Regional Offices, Tax Collectors' offices, and other venues. In addition, ubiquitous technologies (e.g., cell phones and computer cameras) exist today to allow the capture and transmission of photographs.</p>	
1.5	Fingerprinting	<p>Not all applications require the submission of fingerprints for positive biometric-based identification. However, for those that do, RLMS will provide an ability for applicants to go to an agency (current 790 requires that fingerprints must be taken by a law enforcement agency, in a Regional Office, in a certified Tax Collectors' office, or at an approved livescan vendor, there is no such provision in 493) to be fingerprinted and to have those prints sent automatically to the Florida Department of Law Enforcement (FDLE) for processing. The results of the FDLE processing is routed back to DoL for additional scrutiny.</p> <p>Applicants may also have their fingerprints "rolled" onto physical 10-print card stock (this will likely only be the case in a law enforcement agency which lacks livescan equipment, or for out-of-state applicants whose law enforcement agencies are not permitted to submit livescan data to FDLE). They will have to mail the hardcopy cards to FDACS for subsequent scanning.</p>	Applicant Law Enforcement Agency Regional Office Tax Collector
1.6	Conduct FP and Background Search	<p>Once a set of fingerprints are received (via a livescan or through the submission of a 10-print card, which is subsequently scanned), FDLE checks the Florida Crime Information Center (FCIC), the National Crime Information Center (NCIC) and the National Instant Criminal Background Check System (NICS) for positive identification, criminal activity information, and other potentially disqualifying events for the applicant.</p>	FDLE
1.7	Post Results	<p>Once FDLE receives responses from the various criminal justice entities, the results are returned to FDACS. As discussed previously, applications which require fingerprint submissions are not deemed to be complete until all parts of the application have been provided by the applicant. For fingerprints, only the response from FDLE meets the requirement for completeness as it relates to fingerprint processing.</p> <p>Note: The quality of the fingerprint submission may result in the prints being rejected by FDLE (no criminal background check could be completed). This will result in the issuance of</p>	FDLE



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		<p>an E&amp;O communication to the applicant instructing them to submit a new set of fingerprints.</p> <p>Once the FDLE response is received, and assuming all other application requirements for completeness are in place, a timer is initiated to track an application's progress (in the diagram a 90-day clock is started since FDACS is required, in accordance with statutory language, to either issue or deny a "W" application within 90 days of receiving a complete application).</p> <p>In some cases, the department will suspend the processing of a 790 application (i.e., the department has decided some situation exists which, until resolved, precludes the department from making a decision to issue or deny a license). In those instances, a notice of suspension is sent to the applicant along with an Eligibility of Rights (EOR) form which outlines the applicant's right to request administrative relief from the department's decision (EORs allow applicants to request a hearing, either formal or informal).</p> <p>The completed application is routed to process 3.0 <i>Verification</i>.</p>	
1.8	Capture Data Elements	<p>Note: The process diagram above illustrates the steps for applicants using the online system (the "Applicant" swim lane) and the steps for staff processing a paper application (the "FDACS" swim lane) are essentially identical. The only differences are that FDACS has the requisite technology in place to scan and upload documents and photos. FDACS also has certified scanners in place to process 10-print cards, as well as livescan devices in Regional Offices and Tax Collector offices.</p> <p>On behalf of applicants, staff select an option to create a license or permit application from the RLMS self-service portal and enter the information necessary to complete the particular application type (each license/permit application has its own format/content/requirements).</p>	FDACS
1.9	Upload Documents	Staff upload application-specific supporting documentation. In addition, the system will automatically access all available online resources (see discussion above regarding examination requirements) to complete an application.	FDACS
1.10	Process Photos	Staff will upload application-specific photographs.	FDACS
1.11	Scan 10 Print Card	Should fingerprints be required as part of an application, staff will scan physical 10-print cards using the CrossMatch system and transmit the scanned results to FDLE for processing.	FDACS
2.0	Fiscal Process	Applicants provide payments for license/permit fees and related expenses (for instance, there is currently a \$42 fee	FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		to process fingerprints). Payment may be made through a variety of mechanisms (e.g., credit/debit cards, e-checks); however, an application is not complete until proper payment has been received and deposited .  The payment process is described in detail in <i>2.0 Fiscal</i> .	

### Exhibit 3: Process Activities

#### 1.4 PROCESS AREAS FOR IMPROVEMENT

Exhibit 4 lists process improvement opportunities within the current state process.

OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
The department could procure an FBI-approved high-speed scanner to scan the entire paper application package. The paper 10-print card image is routed to Florida Department of Law Enforcement (FDLE), the paper check image is routed through the allowable bank interchanges, and the application is uploaded into a workflow tool.	Policy	One Pass Scanning will avoid the separate scanning of 10-print cards and paper checks currently being performed by DoL, reducing bottlenecks in processing which will reduce the overall time to issuance. This implementation will also save department staff time as each document will need to be physically handled and scanned only once. This will also increase accuracy as documents will require fewer handoffs.
Identify, address, and resolve errors out of the system as soon as practical.	Policy	Policy could dictate a change in processing to ensure errors and omissions are identified earlier in the validation/verification processes.
Provide auto-cropping tools to all staff who are required to process photographs, including Fast Track.	Policy	Staff will save time if the photo cropping activity is automated rather than having staff manipulate the cropping box through trial and error.
Barcode all outgoing and incoming communications.	Policy	Barcodes will allow immediate and accurate routing of all correspondence upon receipt in the mailroom. No staff resources would be required to research and route incoming correspondence.
Assess all existing communications (documents, letters, website); rewrite in clear and simple language, as necessary; re-write applications and forms to ensure content and intent are consistent with prevailing policies and appropriate business rules. If there is disqualifying information on a form, address that information first so	Policy	Clear, consistent communications with customers will reduce phone calls, emails, letters, etc. from customers who don't understand what they're being told or what they are being asked to do.



OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
subsequent processing will become unnecessary.		
Establish automated interfaces and expanded Memoranda of Understanding (MOUs) with external agencies to allow staff to perform direct research (e.g., Department of State for company name lookups, SAVE for aliens, CCIS for dispositions).	Policy	Automating interfaces between myriad external entities will greatly enhance the application intake/verification/research and resolve processes, reducing turnaround time for applicants, reducing instances requiring manual intervention by external agencies or applicants, and reducing staff time spent preparing and receiving external information requests. Keeping as much of the information gathering in-house as possible will reduce the department's reliance on external agencies for data requests, thereby reducing the total time applicants spend waiting on their application to be processed. The consolidation of information gathering will also enable tighter quality and audit capabilities within the department. The establishment of expanded MOUs will authorize staff to perform more research functions, while the establishment of direct interfaces, within security guidelines, will allow the system with direct access to needed external information.
Ensure existing system forms match existing paper forms (e.g., content and order of online application Optical Character Recognition (OCR) should match the current paper application).	Policy	Staff should not have to search a form or an application screen for a piece of information when comparing/ processing a paper artifact and a computer screen. Modify the screens or the forms to match (human engineering factor).
Drive customers to electronic systems/processes (e.g., use Regional Offices and Tax Collectors for applications rather than paper, encourage electronic payment methods). Consider a marketing campaign to explain how much faster a customer will be assisted if they submit an electronic application.	Policy	The error rates for applications processed using Fast Track or CWIS are less than 1%. Paper applications have an error rate of greater than 20%. Tremendous savings in terms of cost, staff resources, and application processing time will be realized by shifting more paper processing to automated environments.
Require that training centers/instructors submit training records. Regulated programs only.	Rule	Staff currently spends time trying to validate training certifications. Requiring that recognized (licensed) trainers submit information about everyone they train would reduce staff time/effort since each new applicant's training achievements



OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
		would be available online for automated verification.

**Exhibit 4: Process Improvement Opportunities**

**1.5 GAPS**

Exhibit 5 lists gaps within this process.

GAP DESCRIPTION	IMPACT
Tax Collectors can only process complete 790 applications.	The future state relies on applicants being able to access multiple venues to overcome technology barriers (e.g., access to scanners or photographic equipment or to fingerprinting devices) as well as geographic hurdles (i.e., there is a limited number of highly dispersed Regional Offices).
Lack of access to automation (geographic dispersal of Regional Offices, Tax Collectors); needs additional investigation.	Perceived lack of citizen/constituent/customer support.

**Exhibit 5: Gaps**

**1.6 METRICS**

Exhibit 6 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
Time to complete an application (online, paper), by license/permit type	Monthly
Number of applications completed (online, paper), by license/permit type	Monthly
Number of applications completed (online, paper), by license/permit type	Monthly

**Exhibit 6: Metrics**

**1.7 ANALYTICS AND REPORTS**

Exhibit 7 lists analytics and reports identified in this process.

DESCRIPTION	FREQUENCY	TYPE
N/A	N/A	N/A

**Exhibit 7: Analytics and Reports**



## 1.8 STAFF INTERVIEWED

Exhibit 8 lists the FDACS team members who were interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.

NAME	AGENCY	ORGANIZATION	TITLE
Paul Pagano	FDACS	Division of Licensing	Assistant Director
Mary Kennedy	FDACS	Division of Licensing	Bureau of Support Services Chief
Lisa Wilde	FDACS	Division of Licensing	Operations Manager
Robin James	FDACS	Division of Licensing	Mailroom Supervisor
Emily Jones	FDACS	Division of Licensing	Digitizing Supervisor
Renee Stalvey	FDACS	Division of Licensing	Profiling Supervisor
James Rehwinkel	FDACS	Division of Licensing	Senior Management Analyst
Phoebe Coblentz	FDACS	Division of Licensing	Accounting Services Supervisor
Annie Boon	FDACS	Division of Licensing	Accountant
Karen Carlile	FDACS	Division of Licensing	Accountant
Ellen Jones	FDACS	Division of Licensing	Accountant
Lisa Trimble	FDACS	Division of Licensing	Regulatory Supervisor Consultant
Ramsey Garner	FDACS	Division of Licensing	Regulatory Supervisor
Mikah Ford	FDACS	Division of Licensing	Systems Programmer
Billy Hunter	FDACS	Division of Licensing	Systems Programmer
Ken Wilkinson	FDACS	Division of Licensing	Division of Licensing Subject Matter Expert
Whitney Shiver	FDACS	Division of Licensing	Operations & Management Consultant
Ben Anderson	FDACS	Tax Collector	Elected Tax Collector
Krystal Hill	FDACS	Tax Collector	Customer Service Supervisor
Brandy Crawford	FDACS	Tax Collector	Customer Service Agent
Peggy Brown	FDACS	Division of Administration	Finance and Accounting Director III

**Exhibit 8: Interview Participants**





## ATTACHMENT 2 FISCAL PROCESS

### 2.1 PROCESS INFORMATION

Functional Area	Application/Licensure
Process	Fiscal
Owner	FDACS

#### Exhibit 1: Process Area

### 2.2 PURPOSE OF THE PROCESS

The purpose of the current state fiscal process is to ensure that all funds due to the department and/or state are properly assessed, collected, safeguarded, accounted for, recorded and deposited in accordance with applicable state laws, regulations and rules and FDACS internal policies and procedures. The future state Fiscal process will unify the revenue collection of regulatory fees within the RLMS application while continuing to ensure that all funds due to the department and/or to the state are properly assessed, collected, safeguarded, accounted for, recorded and deposited in accordance with applicable state laws, regulations and rules and FDACS internal policies and procedures.

The RLMS payment processing application will allow the Fiscal process to serve as the gatekeeper of the overall Licensing process, ensuring the department has accounted for, recorded and deposited the payment before any processing work is conducted on an application, thereby reducing rework and the number of applications that are never completed. Additionally, the Fiscal Process may reduce the risk of issuing a new or renewed license that may be subsequently suspended or revoked due to payment problems.

Financial transaction process confirmations will be integrated into the RLMS to provide seamless workflow both to external applicants and to internal FDACS staff.

The Fiscal Process will streamline and simplify financial accounting and auditing for the department by recording all payments, regardless of type, into one system. This will produce one record of all payments received by the department, increasing accuracy and reducing staff time spent reconciling, and reviewing payments from multiple sources.

If a refund of a payment is needed, refunds can be initiated by the applicant/licensee by logging into self-service portal or the applicant/licensee contacting the FDACS Call Center or the division personnel or the RLMS system application itself. The applicant/licensee or the FDACS Call Center or division personnel or the RLMS system application will initiate the Refund Request Form, which through workflow will be routed to the appropriate FDACS staff to research and validate the request. If the request is validated, the request, through workflow, will be routed to an appropriate supervisor to approve the refund request. Once the refund request has been approved by the supervisor, the applicant/licensee will be sent a notification to access the self-service portal and electronically sign the form. Upon the applicant/licensee electronically signing the form, notification, through workflow, will be sent to Division of



Administration (DoA) Finance and Accounting for issuance of a refund check or a credit against the credit card used.

Refunds are currently caused by several situations - applicant overpays or fee structures change or double-charging of an applicant/licensee's credit card. The future state EGC interface with RLMS will track payments and be able to provide the applicant/licensee with the correct balance due through the Secure Online Portal; therefore, reducing the number of refunds issued.

Beginning Points:

- Application is received from *1.0 Intake*.
- Paper check is received from *1.0 Intake*.

Ending Points:

- The applicant/licensee receives payment confirmation.
- Flag is set for returned financial instruments or refunded payments.

Assumptions:

- FDACS is willing to only process applications whose payment method has been accepted at the banking institution.
- AP&P 3-11 Revenue Collection policies and procedures are followed.



## 2.3 PROCESS DIAGRAMS

### 2.3.1 FUTURE STATE PROCESS DIAGRAM

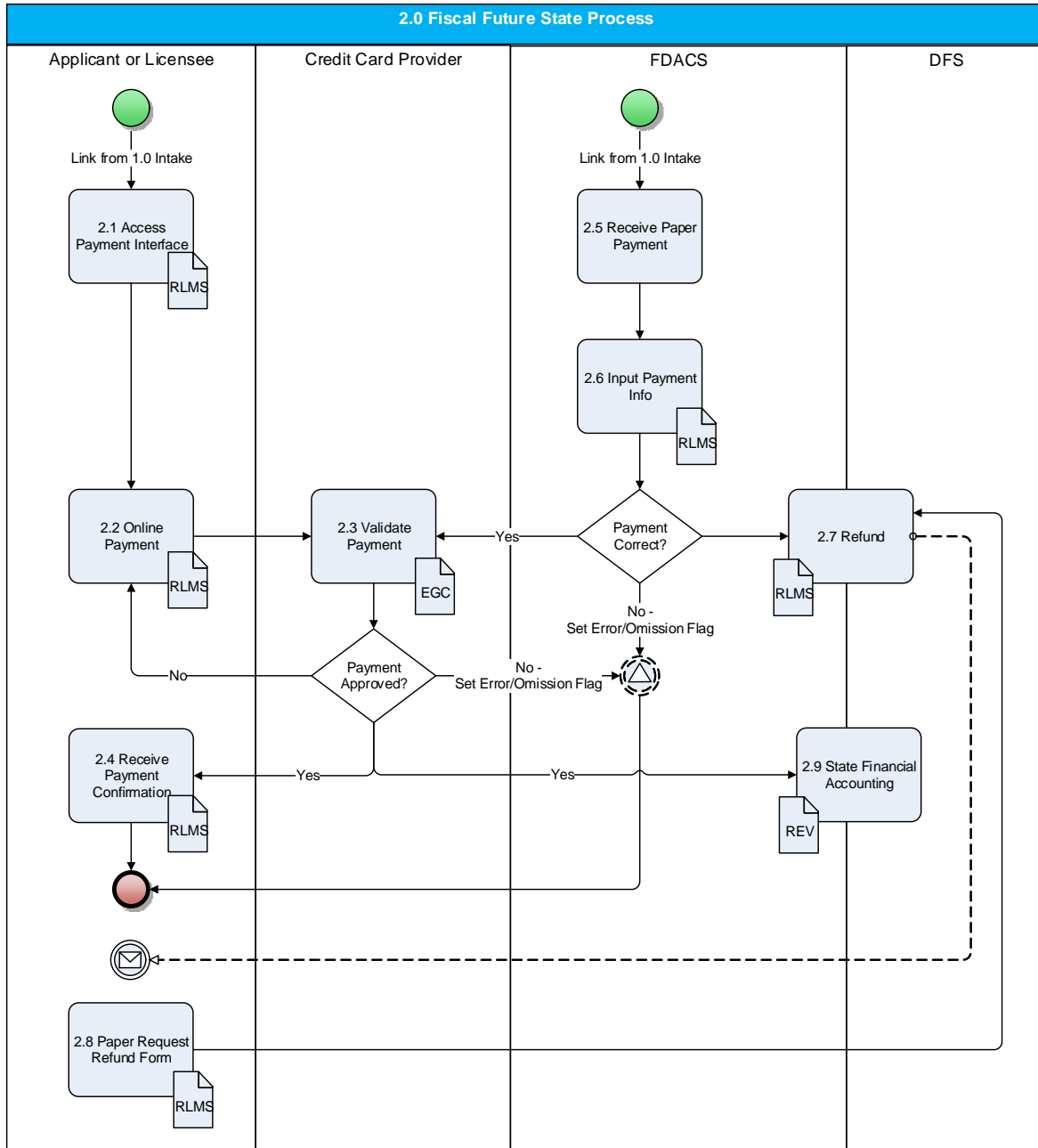


Exhibit 2: Process Diagram



### 2.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
2.1	Access Payment Interface	The applicant/licensee accesses the payment interface by logging into the Secure Online Portal website portion of RLMS. The applicant/licensee selects the license type to renew or apply for a new application.	Applicant
2.2	Online Payment	The amount of payment is determined by the system based on the type of license selected. The applicant/licensee enters payment information into the system. The system automatically verifies the payment format (correct number of credit card digits, routing number matches to bank name, etc.) before allowing the applicant/licensee to proceed any further with the application. The payment will be validated in 2.3 <i>Validate Payment</i> .	Applicant
2.3	Validate Payment	The applicant/licensee submits payment information and will not be able to proceed with the application until payment is cleared successfully. Once payment is cleared, the applicant/licensee will receive payment confirmation in the following activity, 2.4 <i>Receive Payment Confirmation</i> .	Credit Card Provider
2.4	Receive Payment Confirmation	Payment confirmations are saved in the Secure Online Portal. The applicant/licensee can review, save, or print payment confirmation as needed from Secure Online Portal. If the applicant/licensee does not have a Secure Online Portal account, payment confirmation is routed to the print queue to be sent via postal mail. The applicant/licensee can now proceed with the application. RLMS must be able to re-send or print a confirmation page as necessary.	Applicant



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
2.5	Receive Paper Payment	The applicant/licensee can submit payment via mail to FDACS. If an account was previously created, staff accesses the applicant's/licensee's account via the Secure Online Portal. If applicant/licensee has not previously created an account, staff is able to process payment and accurately credit applicant/licensee's payment. Staff selects from the available licenses to renew or selects a new application before proceeding to 2.6 <i>Input Payment Info</i> .	FDACS
2.6	Input Payment Info	Staff will enter payment information and deposit paper checks as an e-check online. Staff will verify the applicant has signed the section indicating agreement to allow for conversion of paper check to e-check. The system will automatically verify the payment information format (e.g., # of routing number digits, etc.) before proceeding to 2.4 <i>Receive Payment Confirmation</i> .	FDACS
2.7	Refund	Refund request form can be initiated by the applicant/licensee, FDACS call center, division personnel or the RLMS system application. Refund inquiry is researched by FDACS staff and, if valid, is routed to an appropriate supervisor to approve the request. Once the refund request has been approved by the supervisor, the applicant/licensee will be sent a notification to access the self-service portal and electronically sign the form. Upon the applicant/licensee electronically signing the form, notification through workflow, will be sent to Division of Administration (DoA) Finance and Accounting for issuance of a refund check or a credit against the credit card used.  For applicant/licensee who prefer a paper copy of the refund request form, the RLMS system application will generate the form for mailing.	FDACS Applicant/Licensee
2.8	Paper Request Refund Form	The applicant will mail in the refund request form. Upon receipt of the signed form, the form will be scanned into RLMS. A workflow notification will be sent to the Division of Administration (DOA) Finance and Accounting for issuance of a refund check or a credit against the credit card used.	Applicant FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
2.9	State Financial Accounting	Staff can verify that funds are accounted for, recorded in the system and deposited in accordance with applicable state laws, regulations and rules and FDACS internal policies and procedures. This includes future interfaces necessary to exchange information with the future State Financial Accounting System.	FDACS DFS

**Exhibit 3: Process Flow**

**2.4 PROCESS AREAS FOR IMPROVEMENT**

Exhibit 4 lists process improvement opportunities within the current state process.

OPPORTUNITY DESCRIPTION	RULE/POLICY/ STATUTE	BENEFIT
N/A	N/A	N/A

**Exhibit 4: Process Improvement Opportunities**

**2.5 GAPS**

Exhibit 5 lists gaps within this process.

GAP DESCRIPTION	IMPACT
License renewal payments could be processed using a Coupon system, in which applicants may be required to mail paper payments with a Coupon stub that may be scanned and applied to the respective application/action automatically.	Coupon system will greatly reduce the staff time required to process renewal paper payments. Accuracy of payment processing will increase. A similar coupon system is currently in use at the Division of Administration.

**Exhibit 5: Gaps**

**2.6 METRICS**

Exhibit 6 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
Paper checks processed per labor hour	Daily
Percentage of payments processed online	Quarterly
Percentage of under/over payments	Quarterly



METRICS DESCRIPTION	FREQUENCY
Percentage of NSF payments	Quarterly
Percentage of payments received online	Quarterly

**Exhibit 6: Metrics**

## 2.7 ANALYTICS AND REPORTS

Exhibit 7 lists analytics and reports identified in this process.

DESCRIPTION	FREQUENCY	TYPE
Bank Settlement Report	Daily	Financial
FLAIR Statement Report	Daily	Financial
Cost to FDACS of Online vs. Paper payment	Quarterly	Financial

**Exhibit 7: Analytics and Reports**

## 2.8 STAFF INTERVIEWED

The following table lists the FDACS team members who were interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.

NAME	AGENCY	ORGANIZATION	TITLE
James Rehwinkel	FDACS	Division of Licensing	Senior Management Analyst
Phoebe Coblentz	FDACS	Division of Licensing	Accounting Services Supervisor
Ken Wilkinson	FDACS	Division of Licensing	Division of Licensing Subject Matter Expert
Peggy Brown	FDACS	Division of Administration	Finance and Accounting Director III
Ramsey Garner	FDACS	Division of Licensing	Regulatory Supervisor
Annie Boon	FDACS	Division of Licensing	Accountant
Karen Carlile	FDACS	Division of Licensing	Accountant
Ellen Jones	FDACS	Division of Licensing	Accountant

**Exhibit 8: Interview Participants**



## ATTACHMENT 3 VERIFICATION PROCESS

### 3.1 PROCESS INFORMATION

Functional Area	Application/Licensure
Process	Verification
Owner	FDACS

#### Exhibit 1: Process Area

### 3.2 PURPOSE OF THE PROCESS

Verification is a key process in assuring the statutory compliance and eligibility of all applications submitted to the department.

Using the online application process, most data errors will be resolved interactively via online interface as applicants input information. For example, the online system will not allow an applicant to enter alphabetic characters in a zip code field and will limit gender selection based on a pull down menu. However, there are some items which cannot be automated sufficiently to preclude the need for human intervention. For instance, a conceal carry license application requires the submission of a photograph which must adhere to strict guidelines (e.g., no hat, no sunglasses). The online system knows a photograph has been provided by the applicant, but may not be able to determine if the applicant’s eyes are closed in the photo. Staff will have to review the photos to ensure they fully meet departmental and statutory requirements.

Demographic information contained in each application will also have to be verified. As an example, real-time access to the Social Security Administration could provide an ability to validate someone’s social security number or a direct interface with the Clerks of Courts system could provide the ability to automate the retrieval of disposition data for potentially disqualifying events returned on a criminal history report. In general, the capabilities of an online validation process are highly dependent upon the real-time accessibility of other data repositories and systems.

This document describes the tasks associated with verifying application data and license-specific supporting document(s) to determine if any data provided is inaccurate (errors) or missing (omissions). The term “flag” represents the idea that an error or omission has been found which requires additional research. Subsequent processing in *4.0 Research & Resolve* addresses these errors and omissions, and attempts to resolve them.

Beginning Points:

- Application is received from *1.0 Intake or 2.0 Fiscal*.
- Approved Application is received from *4.0 Research & Resolve*.
- Application is received from *7.0 Legal/Compliance*.

Ending Points:





- Application is linked to *4.0 Research & Resolve* to research and resolve errors and omissions.
- Application is approved and an approval notification is sent to the applicant/licensee.
- License is issued and printed.

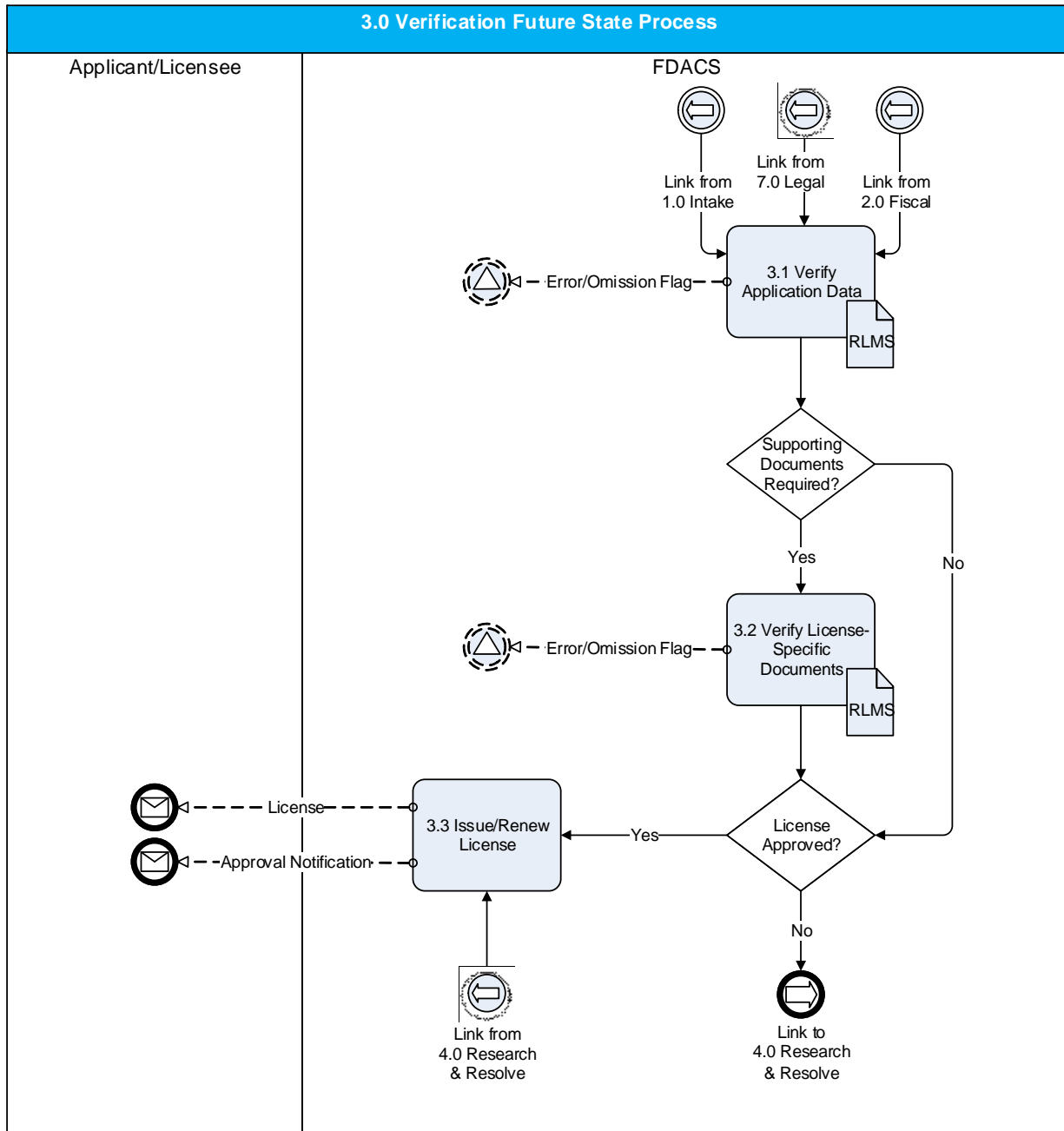
Assumptions:

- Notarization requirements will be removed from Florida Statute.
- An improved Intake process where errors and omissions are prevented on the front-end.
- If feasible, additional internal and external interfaces will provide real-time data validation capabilities.
- Applicants/Licensees can e-sign to attest under oath.
- Applicants/Licensees will have access to online accounts to facilitate self-service and communications in a secure environment.
- The input processes, edits, and business rules are the same for applicants and for staff who are inputting information on behalf of applicants.



### 3.3 PROCESS DIAGRAMS

#### 3.3.1 FUTURE STATE PROCESS DIAGRAM



**Exhibit 2: Process Diagram**



### 3.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
3.1	Verify Application Data	<p>The system will identify and present staff with any data issues on the application. The various errors and omissions identified are highly dependent upon the type of application and the requirements associated with each. However, some common data validation routines may include automated age checks based on date of birth, address verification using United States Postal Service information, electronic notarization verification, attestation under oath verification, and US citizenship or permanent resident alien status verification.</p> <p>The system will identify and flag for further research and resolution data fields in the application that are missing or inaccurate (Note: many errors and omissions are interactively identified and addressed by applicants as they apply using the online self-service portal).</p> <p>Staff also reviews the application to flag missing or inaccurate information requiring further research and resolution.</p> <p>The next activity, 3.2 <i>Verify License-Specific Documents</i>, depends on whether supporting documents are required to approve an application for initial issuance or renewal. The documentation for each application type is dependent upon the particular requirements for the application being processed.</p> <p>If no supporting documentation is required and all data in the application has been validated, the system will issue a notification that the license has been approved and the license will be printed in 3.3 <i>Issue/Renew License</i> and distributed to the applicant (Note: Future FDACS policies may allow licenses to be printed in Regional Offices or Tax Collectors' offices where applicants may pick them up rather than have the licenses mailed).</p>	FDACS
3.2	Verify License-Specific Documents	<p>This activity depends on the application type. The system will identify and present staff with any data issues on the license-specific supporting documents. This may include flagging fingerprint results from FDLE for any fingerprint rejects, criminal history reports, or potential disqualifiers.</p> <p>If any required data on the supporting documents is missing, inaccurate, or potentially disqualifying, those data items will be flagged in the RLMS system for further research and resolution.</p>	FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		Upon verification, if staff approves all required supporting documents and there are no flags on the application or any supporting documents, the application will be approved. If flags exist on the application and/or on any supporting documents, staff will attempt to resolve error/omission flags in <i>4.0 Research &amp; Resolve</i> .	
3.3	Issue/Renew License	<p>The system will present staff with applications that are approved for issuance/renewal. This includes approved applications that have returned from <i>4.0 Research &amp; Resolve</i>.</p> <p>The system will notify the applicant/licensee they have been approved for a license/renewal.</p> <p>A license/renewal is printed and issued to the applicant/licensee.</p>	FDACS

**Exhibit 3: Process Activities**

**3.4 PROCESS AREAS FOR IMPROVEMENT**

Exhibit 4 lists process improvement opportunities within the current state process.

OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
DoL reported that it currently uses a report (the “Monday Report”) to ensure that staff views every document in an application package before a license is issued. The Monday Report lists staff that have issued licenses prior to viewing each document associated with an issued license. As a result, staff are spending extra time opening and viewing documents multiple times to ensure they do not end up on the Monday Report. DoL has explored the ability to proactively prevent the issuance of a license until all documents have been viewed but current solutions do not allow this.	Policy	This will prevent mistakes at the onset and allow faster issuance of a license.
Ensure existing system forms like the Errors and Omissions (EO) checklist currently used by Bureau of License Issuance (BLI) Processors mirror paper applications in content and order.	Policy	This will reduce the time staff spends verifying applications. Faster processing will allow faster issuance of a license.

**Exhibit 4: Process Improvement Opportunities**



### 3.5 GAPS

Exhibit 5 lists gaps within this process.

GAP DESCRIPTION	IMPACT
FDACS currently does not have the capability to administer online examinations.	The future state Verification process requires online examination results to automatically feed into the RLMS system to determine license eligibility. The new Learning Management System (LMS) may potentially address this gap.
FDACS policies in the future may allow licenses to be printed in Regional Offices or Tax Collectors' offices where applicants may pick them up rather than have the licenses mailed.	Printing licenses in geographically dispersed offices may enhance customer experiences and be more cost-effective to the department. Today, conceal carry licenses may be issued (printed) in Regional Offices. Placing license printing machines in Tax Collector offices may be of benefit to the department (Note: the current driver's license machines in Tax Collector offices are essentially the same as the machines used to create conceal carry permits.).

**Exhibit 5: Gaps**

### 3.6 METRICS

Exhibit 6 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
Time elapsed from receipt of complete application to issuance of license/renewal	Weekly
Number of error/omission flags set by type, per application	Weekly
Number of applications routed to <i>4.0 Research &amp; Resolve</i>	Weekly
Number of licenses issued	Weekly
Number of renewals issued	Weekly

**Exhibit 6: Metrics**

### 3.7 ANALYTICS AND REPORTS

Exhibit 7 lists analytics and reports identified in this process.



DESCRIPTION	FREQUENCY	TYPE
Flag report – A report that tracks the type and count of Error/Omission flags set by the system (automatically) and by staff (manually).	Monthly	Management
License issuance report – A report that tracks the number of licenses/renewals issued by type.	Monthly	Management
Verification time – A report that tracks the average time elapsed from receipt of complete application to issuance of license/renewal.	Monthly	Management

### Exhibit 7: Analytics and Reports

### 3.8 STAFF INTERVIEWED

Exhibit 8 lists the FDACS team members who were interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.

NAME	AGENCY	ORGANIZATION	TITLE
Mary Kennedy	FDACS	Division of Licensing	Bureau of Support Services Chief
Lisa Wilde	FDACS	Division of Licensing	Operations Manager
Robin James	FDACS	Division of Licensing	Mailroom Supervisor
Emily Jones	FDACS	Division of Licensing	Digitizing Supervisor
Renee Stalvey	FDACS	Division of Licensing	Profiling Supervisor
Laura Gallagher	FDACS	Division of Licensing	Bureau of License Issuance Chief
Joni Roar	FDACS	Division of Licensing	Regulatory Program Administrator
Kevin Gay	FDACS	Division of Licensing	Regulatory Program Administrator
Don Bassett	FDACS	Division of Licensing	493 Supervisor
Stephanie Allen	FDACS	Division of Licensing	Regulatory Supervisor
Pat Gibson	FDACS	Division of Licensing	790 Processing Supervisor
Pierre Philippe	FDACS	Division of Licensing	Regulatory Specialist
Adrian Bolin	FDACS	Division of Licensing	Regulatory Supervisor
Melinda Jenkins	FDACS	Division of Licensing	Regulatory Supervisor
Thalia Dance	FDACS	Division of Licensing	Regulatory Processor
Angela Jell	FDACS	Division of Licensing	Regulatory Processor
Dallas Strickland	FDACS	Division of Licensing	Regulatory Processor
Ken Wilkinson	FDACS	Division of Licensing	Division of Licensing Subject Matter Expert

### Exhibit 8: Interview Participants



## ATTACHMENT 4 RESEARCH & RESOLVE PROCESS

### 4.1 PROCESS INFORMATION

Functional Area	Application/Licensure
Process	Research & Resolve
Owner	FDACS

#### Exhibit 1: Process Area

### 4.2 PURPOSE OF THE PROCESS

The purpose of the Research & Resolve process is to research potential errors and omissions discovered (“flagged”) in the *3.0 Verification* process. The intent is to use additional information resources and techniques to resolve any outstanding issues associated with an application which prevent an issuance or renewal. As described in *3.0 Verification*, applications which have not been flagged with errors or omissions or which contain disqualifying information are issued immediately; they never reach this step in the process.

The online application process along with the processes outlined in *3.0 Verification* used a variety of data access methods and edits to resolve as many issues as possible in an automated fashion. The Research & Resolve approach is to focus staff attention on applications which present issues that cannot be reconciled using automated tools. In this process, staff utilize all resources at their disposal (external and internal) to address remaining discrepancies. Applicants/licensees are only contacted in cases where the department is unable to resolve outstanding issues which prevent the issuance or renewal of a license or permit. The underlying intent of this process is to contact applicants/licensees ONLY when absolutely necessary and, to the extent possible, to request everything necessary to make a licensing determination in one communication exchange.

#### Beginning Points:

- Application is marked with errors and omissions from 3.0 Verification.

#### Ending Points:

- Denial Letter is sent to applicant/licensee and refunds processed if applicable.
- Approved application is sent to *3.3 Issue/Renew License*.
- Suspension of Application can occur with 790 applications.

#### Assumptions:

- None.



### 4.3 PROCESS DIAGRAMS

#### 4.3.1 FUTURE STATE PROCESS DIAGRAM

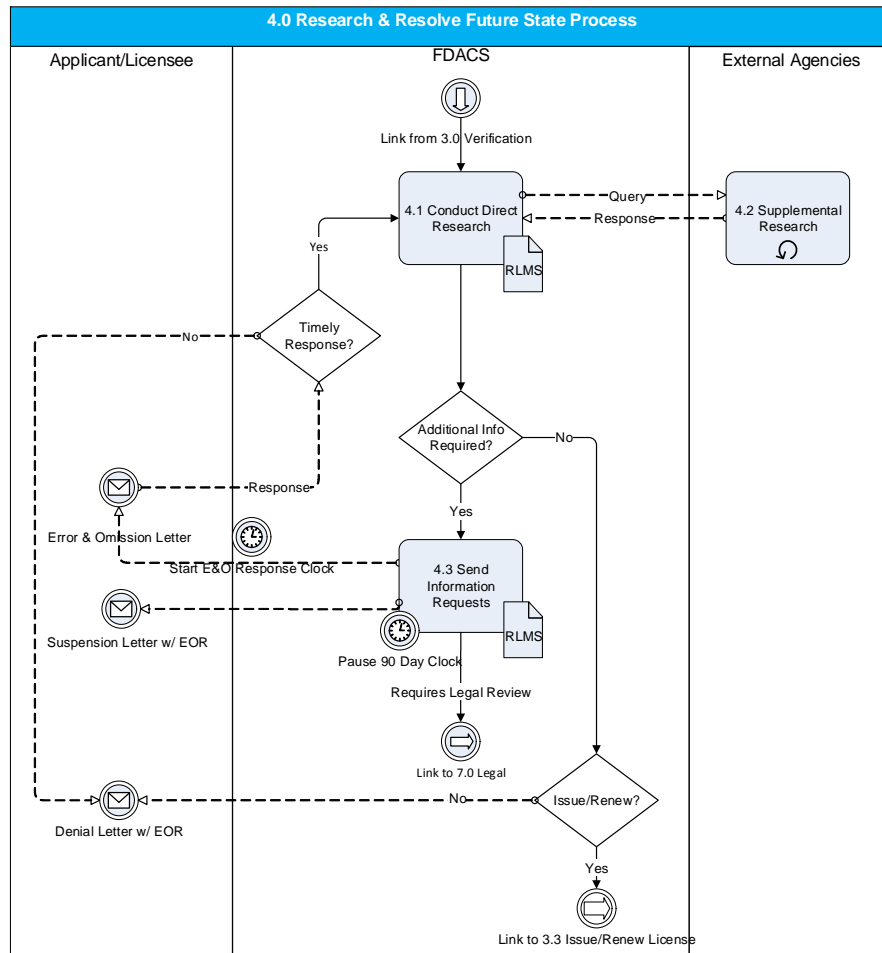


Exhibit 2: Process Diagram

#### 4.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.





INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
4.1	Conduct Direct Research	<p>Staff are presented with errors and omissions which have been identified, but which could not be resolved, using the automated processes available during initial input and as part of the <i>3.0 Verification</i> process.</p> <p>Staff will use any/all access they may have to external systems (e.g., Department of State for agency-related licenses) to research and resolve issues surrounding a given application.</p> <p>Staff may send requests for additional information directly to other agencies. For example, a potentially disqualifying event on an applicant's RAP sheet may lack a disposition from the courts. Information may have to be retrieved from the Clerks of Courts to address the issue, but access to their system may be limited to ad-hoc inquiries only. Staff may sign on to CCIS to find the information necessary to research and resolve the issue. (Note: real-time access to CCIS may allow this type of manual process to be replaced with an automated lookup in <i>3.0 Verification</i>).</p> <p>Staff are able to make notes, cite sources, and attach documents while reviewing the application.</p> <p>Also in this process, responses from Error and Omission (E&amp;O) letters are received and reviewed. If the responses are deemed to be untimely (applicants have 30 days to respond to E&amp;O letters), the application is denied.</p> <p>If all errors and omissions are resolved, staff may choose to issue a license or to deny its issuance. In case of denial, an applicant is notified of the denial and sent a form (Eligibility of Rights) outlining any rights for which the applicant may be eligible.</p> <p>If staff choose to issue a license, the process returns to <i>3.3 Issue/Renew License</i>.</p>	FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
4.2	Supplemental Research	<p>External agencies may conduct research on behalf of FDACS. For example, FDLE may act on the department's behalf to solicit crime related disposition information from law enforcement or judicial agencies who are otherwise reticent to release such information to non-Criminal Justice entities.</p> <p>The department will have a secure mechanism in place to exchange sensitive information with external entities.</p>	External Agencies
4.3	Send Information Requests	<p>Once staff have gathered all the information they can, using internal and external resources, and there remain errors and omissions on the application, they may find it necessary to directly contact applicants/licensees.</p> <p>The department may issue E&amp;O letters which solicit information from applicants and licensees that is necessary to complete the processing of an application. Once an E&amp;O letter is sent, the system will stop the clock which tracks the time it takes for the department to process an application (the clock is stopped because the department lacks sufficient information to make a decision to issue or deny a license and the deficiency exists because of something the applicant/licensee is responsible to provide). Applicants/licensees have 30 days in which to respond to an E&amp;O letter, therefore the system starts a clock to determine whether an E&amp;O response (if any) is timely when returned by an applicant/licensee.</p> <p>In some cases, the department will suspend the processing of a 790 application (i.e., the department has decided some situation exists which, until resolved, precludes the department from making a decision to issue or deny a license). In those instances, a notice of suspension is sent to the applicant along with an Eligibility of Rights (EOR) form which outlines the applicant's right to request administrative relief from the department's decision (EORs allow applicants to request a hearing, either formal or informal).</p>	FDACS

**Exhibit 3: Process Flow**



#### 4.4 PROCESS AREAS FOR IMPROVEMENT

Exhibit 4 lists process improvement opportunities within the current state process.

OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
<p>Establish automated interfaces and expanded Memoranda of Understanding (MOUs) with external agencies like FDLE to allow staff to perform direct research (e.g., Department of State for company name lookups, SAVE for aliens, Comprehensive Case Information System (CCIS) for dispositions).</p>	<p>Policy</p>	<p>Automating interfaces between myriad external entities will greatly enhance the application intake/verification/research and resolve processes, reducing turnaround time for applicants, reducing instances requiring manual intervention by external agencies or applicants, and reducing staff time spent preparing and receiving external information requests. Keeping as much of the information gathering in-house as possible will reduce the department's reliance on external agencies for data requests, thereby reducing the total time applicants spend waiting on their application to be processed. The consolidation of information gathering will also enable tighter quality and audit capabilities within the department. The establishment of expanded MOUs will authorize staff to perform more research functions, while the establishment of direct interfaces will allow the system with direct access to needed external information.</p>
<p>Assess all existing communications (documents, letters, website); rewrite in clear and simple language, as necessary; re-write applications and forms to ensure content and intent are consistent with prevailing policies and appropriate business rules. If there is disqualifying information on a form, address that information first so subsequent processing will become unnecessary.</p>	<p>Policy</p>	<p>Clear, consistent communications with customers will reduce phone calls, emails, letters, etc. from customers who don't understand what they're being told or what they are being asked to do.</p>
<p>Barcode all outgoing and incoming communications.</p>	<p>Policy</p>	<p>Barcodes will allow immediate and accurate routing of all correspondence upon receipt in the mailroom. No staff resources would be required to research and route incoming correspondence.</p>
<p>Establish strict time limits regarding applicant response and automatically send denial letters after expiration.</p>	<p>Policy</p>	<p>Reduces the number of stale applications in the queue backlog. Reduces the staff time spent contacting applicants about aging applications.</p>



## Exhibit 4: Process Improvement Opportunities

### 4.5 GAPS

Exhibit 5 lists Gaps within this process.

GAP DESCRIPTION	IMPACT
None.	N/A

### Exhibit 5: Gaps

### 4.6 METRICS

Exhibit 6 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
Percentage of applications requiring written request for information	Quarterly
Number of E&O letters sent	Monthly
Time elapsed from issuance of E&O letter to receipt of E&O response	Monthly
Cost of sending E&O letter (i.e., postage)	Monthly
Average age of applications in Queue	Quarterly
Number of applications able to be resolved per labor hour	Quarterly
Average turnaround time for application	Quarterly

### Exhibit 6: Metrics

### 4.7 ANALYTICS AND REPORTS

Exhibit 7 lists analytics and reports identified in this process.

DESCRIPTION	FREQUENCY	TYPE
Queue Aging Analysis Report	Monthly	Management
Number of Incomplete Applications	Annually	Management

### Exhibit 7: Analytics and Reports

### 4.8 STAFF INTERVIEWED

The following table lists the FDACS team members who were formally interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.



NAME	AGENCY	ORGANIZATION	TITLE
Robin James	FDACS	Division of Licensing	Mailroom Supervisor
Emily Jones	FDACS	Division of Licensing	Digitizing Supervisor
Renee Stalvey	FDACS	Division of Licensing	Profiling Supervisor
James Rehwinkel	FDACS	Division of Licensing	Senior Management Analyst
Phoebe Coblentz	FDACS	Division of Licensing	Accounting Services Supervisor
Kevin Gay	FDACS	Division of Licensing	Regulatory Program Administrator
Don Bassett	FDACS	Division of Licensing	493 Processing Supervisor
Pat Gibson	FDACS	Division of Licensing	790 Processing Supervisor
Pierre Philippe	FDACS	Division of Licensing	Regulatory Specialist
Mikah Ford	FDACS	Division of Licensing	Systems Programmer
Billy Hunter	FDACS	Division of Licensing	Systems Programmer
Ken Wilkinson	FDACS	Division of Licensing	Division of Licensing Subject Matter Expert

**Exhibit 8: Interview Participants**



## ATTACHMENT 5 COMPLAINTS PROCESS

### 5.1 PROCESS INFORMATION

Functional Area	Compliance/Inspection/Enforcement
Process	Complaints
Owner	FDACS

#### Exhibit 1: Process Area

### 5.2 PURPOSE OF THE PROCESS

The Florida Department of Agriculture and Consumer Services, Division of Consumer Services, functions as the State's clearinghouse for consumer complaints. The division assists consumers with information, protection, and complaints, regardless of whether they regulate the specific industry. A complaint against a licensee or an individual suspected of performing unlicensed activity can be received from any source internal or external to FDACS.

The Complaints process describes the tasks associated with receiving a complaint, public records inquiry, information request and determining what further action, if any, is appropriate.

#### Beginning Points:

- A complaint, public records inquiry, information request is received by FDACS.

#### Ending Points:

- The complaint is referred to another state agency.
- The complaint is closed and a notification of closure is sent to the complainant.
- The complaint is linked to *6.0 Investigation*.
- The complaint is linked to *7.0 Legal/Compliance* for review.

#### Assumptions:

- All complaints will be entered and logged in the system via the self-service portal, submitted electronically, or entered manually into the system by staff upon receipt.
- Use of automated data query to drive efficiency through the establishment of internal and external interfaces. (i.e. Incorporate a Department of State data feed to support business name lookups when processing an Agency license application).
- Account holders can be notified via the future state self-service portal accounts.
- Complainants, external entities, and state agencies can opt for electronic communication.



### 5.3 PROCESS DIAGRAMS

#### 5.3.1 FUTURE STATE PROCESS DIAGRAM

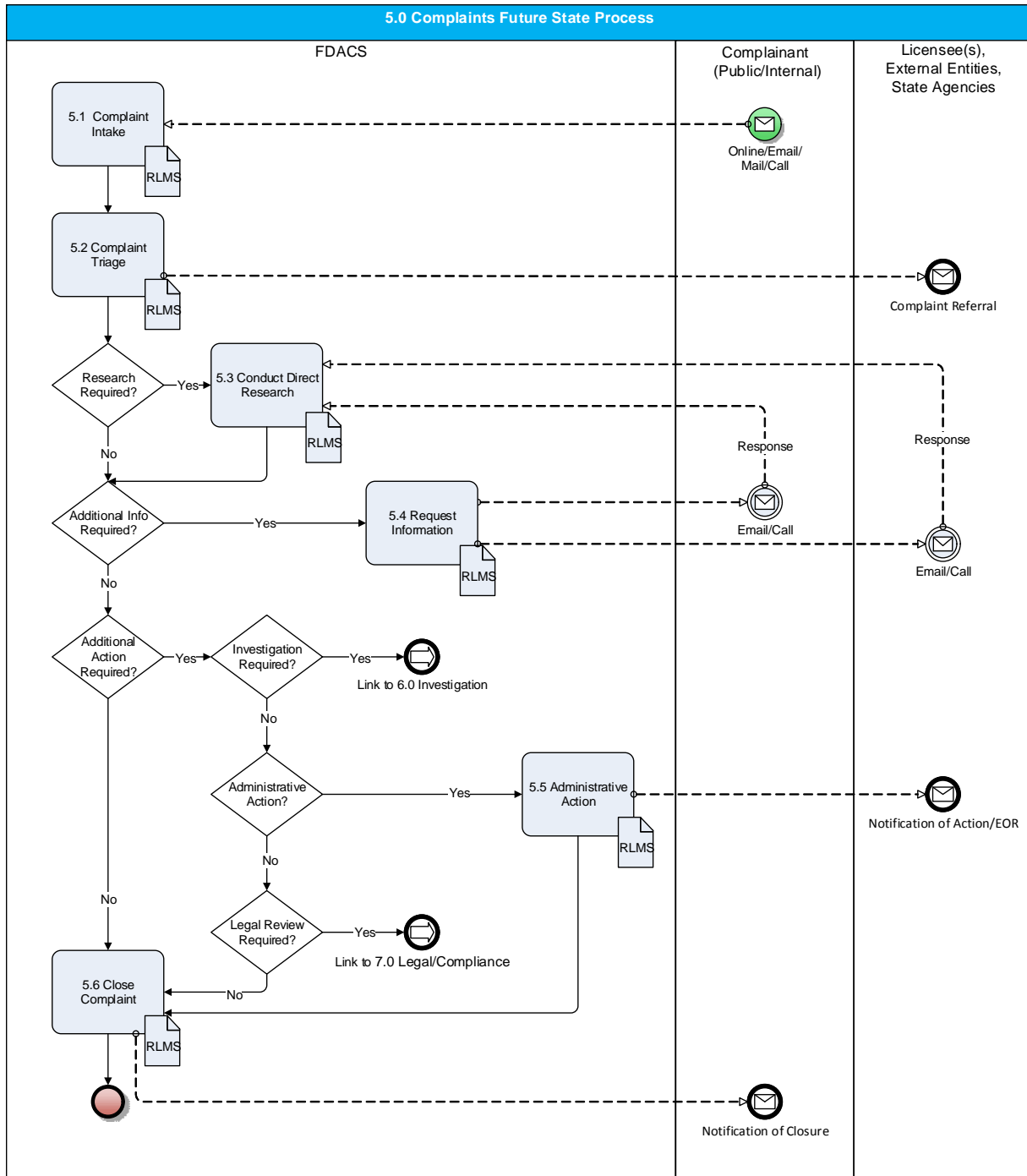


Exhibit 2: Process Diagram



### 5.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
5.1	Complaint Intake	All complaints, public records inquiry, information requests will be entered and logged in the system via the self-service portal, submitted electronically, or entered manually into the system by FDACS upon receipt (staff will enter the appropriate information received via phone, email, fax, or letter into the system).	FDACS
5.2	Complaint Triage	Incoming complaints which contain sufficient information to allow automatic routing will be sent to the appropriate internal or external organizations for review and resolution. Only complaints which lack the information necessary to determine to whom they should be sent are reviewed by staff.	FDACS
5.3	Conduct Direct Research	<p>Staff will review complaints which could not be automatically routed and determine whether additional research is required to route the complaint for resolution. If additional research is required, staff will conduct direct research using all resources available to them (e.g., RLMS, contacting other department organizations, accessing public/government websites).</p> <p>Staff will conduct direct research for any additional information needed to resolve the complaint using any and all available internal or external resources and interfaces. This includes reviewing responses returned from requests for additional information in (see 5.4 <i>Request Information</i>).</p> <p>If, after all research venues accessible by staff have been exhausted and additional information is still required, staff may reach out to relevant parties involved in the complaint, as necessary in 5.4 <i>Request Information</i>.</p> <p>If additional information cannot be obtained via direct contact or correspondence, staff will determine whether additional action is required (or even possible). If no additional action is required or possible, the complaint will be closed.</p> <p>During the course of their activities to fully understand the nature of a complaint, staff members may decide an investigation is warranted. If so, the complaint will be routed to 6.0 <i>Investigation</i>.</p> <p>If a field investigation is not required, staff will determine if an administrative action can be taken during compliance review. If so, staff will issue an administrative action along with an</p>	FDACS





INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		<p>Election of Rights (EOR) form outlining various options to object to the administrative action imposed.</p> <p>If the complaint warrants legal or regulatory compliance review, complaints will be routed to the appropriate staff (see <i>7.0 Legal/Compliance</i>).</p> <p>If no action or further review is necessary, staff will close the complaint.</p>	
5.4	Request Information	<p>Staff may request additional information needed to route the complaint by reaching out to relevant parties involved in the complaint. Relevant parties may include the complainant and the subject(s) of the complaint (i.e. licensee(s), external entities, state agencies).</p> <p>The system will issue a request for information using a variety of communication methods (e.g., email, system notification, barcoded letter/form). Responses are processed in <i>5.3 Conduct Direct Research</i>.</p>	FDACS Licensee(s) External Entities State Agencies
5.5	Administrative Action	<p>Staff may issue an administrative action appropriate to the evaluation of the complaint. This may include, but not be limited to, a suspension, revocation, and/or fine.</p> <p>The system will issue a notification of administrative action along with an Election of Rights form.</p>	FDACS
5.6	Close Complaint	<p>Staff will update the system to indicate the complaint is closed.</p> <p>The system will generate a notification of closure to the complainant and produces any required executive correspondence. Depending upon departmental policies, rules, and statutory guidance, the notification may indicate to the complainant the action(s), if any, taken in response to the complaint.</p>	FDACS

### Exhibit 3: Process Activities

## 5.4 PROCESS AREAS FOR IMPROVEMENT

Exhibit 4 lists process improvement opportunities within the current state process.

OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
Barcode all outgoing and incoming communications.	Policy	Barcodes will allow immediate and accurate routing of all correspondence upon receipt in the mailroom. No staff resources would be required to research and route incoming correspondence.



## Exhibit 4: Process Improvement Opportunities

### 5.5 GAPS

Exhibit 5 lists gaps within this process.

GAP DESCRIPTION	IMPACT
None identified	N/A

### Exhibit 5: Gaps

### 5.6 METRICS

Exhibit 6 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
Number of total complaints received	Daily
Number of complaints filed via self-service portal (i.e., no staff intervention)	Daily
Number of complaints filed via phone	Daily
Number of complaints filed via paper/fax	Daily
Time elapsed from receipt of complaint to close of complaint	Monthly
Number of complaints routed to <i>6.0 Investigation</i>	Monthly
Number of complaints routed to <i>7.0 Legal/Compliance</i>	Monthly
Number of Administrative Actions taken as a result of a complaint	Quarterly

### Exhibit 6: Metrics

### 5.7 ANALYTICS AND REPORTS

Exhibit 7 lists analytics and reports identified in this process.

DESCRIPTION	FREQUENCY	TYPE
Average time elapsed from receipt of complaint to close of complaint	Monthly	Management
Percentage of complaints filed via self-service portal (i.e., no staff intervention)	Monthly	Management
Percentage of complaints filed via phone	Monthly	Management
Percentage of complaints filed via paper/fax	Monthly	Management
Percentage of complaints accurately routed to <i>6.0 Investigation</i>	Monthly	Management
Percentage of complaints accurately routed to <i>7.0 Legal/Compliance</i>	Monthly	Management

### Exhibit 7: Analytics and Reports



## 5.8 STAFF INTERVIEWED

Exhibit 8 lists the FDACS team members who were interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.

NAME	AGENCY	ORGANIZATION	TITLE
John Raymaker	FDACS	Division of Licensing	Attorney Supervisor
Ed Warren	FDACS	Division of Licensing	Bureau of Regulation and Enforcement Chief
Lisa Trimble	FDACS	Division of Licensing	Regulatory Supervisor Consultant
Ramsey Garner	FDACS	Division of Licensing	Regulatory Supervisor
Beverly Springer	FDACS	Division of Licensing	Compliance Officer
Debra McMillian	FDACS	Division of Licensing	Compliance Officer Supervisor
Shaun Colonna	FDACS	Division of Licensing	Compliance Officer Supervisor

**Exhibit 8: Interview Participants**



## ATTACHMENT 6 INVESTIGATION PROCESS

### 6.1 PROCESS INFORMATION

Functional Area	Compliance/Inspection/Enforcement
Process	Investigation
Owner	FDACS

#### Exhibit 1: Process Area

### 6.2 PURPOSE OF THE PROCESS

The Office of Agricultural Law Enforcement (AgLaw) protects Florida’s agriculture and consumers through professional law enforcement in support of all the regulatory aspects of the Florida Department of Agriculture and Consumer Services. AgLaw conducts regulatory inspections and investigations of both regulatory and criminal activities within its purview. The inspection process is described in process *8.0 Inspections*; the regulatory and criminal investigation process is documented here.

Complaints and other issues which may require investigation are sent to the Division of Consumer Services’ Bureau of Mediation and Enforcement. Mediation and Enforcement performs initial research, decides the nature (regulatory or criminal) of a particular investigation, and forwards their guidance to AgLaw to conduct the actual investigation. The process shown in this document begins when AgLaw receives instructions to conduct an investigation from Mediation and Enforcement.

#### Beginning Points:

- An investigation is requested as a result of *5.0 Complaint*.
- An investigation is requested as a result of *8.0 Inspection*.

#### Ending Points:

- An administrative action is issued.
- An investigatory case is routed to Legal (see *6.0 Legal*).
- A regulatory case investigation results in no action.
- A criminal case investigation results in no action.
- .

#### Assumptions:

- Some AgLaw investigations currently are initiated by the Division of Consumer Services’ Bureau of Mediation and Enforcement. With the move of Investigators from



the Division of Licensing (DoL) to AgLaw, the Bureau of Regulation and Enforcement (BRE) unit will now request investigative services from AgLaw.

- DoL Investigators will integrate with AgLaw investigators, but will continue to utilize DoL systems to conduct Investigations.
- The Bureau of Mediation and Enforcement (BME) in the Division of Consumer Services tries to make the initial determination on whether an investigation is regulatory or criminal. In the future state DoL, BRE unit is poised to perform the same initial determination. Investigators will always be able to modify this determination as needed.
- Regulatory and Criminal investigation cases will not be co-located in the same automated systems; regulatory cases will be housed in the Regulatory Lifecycle Management System (RLMS) and the Division of Consumer Services System (DOCS) (until DOCS migrates fully to RLMS), and Criminal cases will reside in the Augmented Criminal Investigation Support System (ACISS).



### 6.3 PROCESS DIAGRAMS

#### 6.3.1 FUTURE STATE PROCESS DIAGRAM

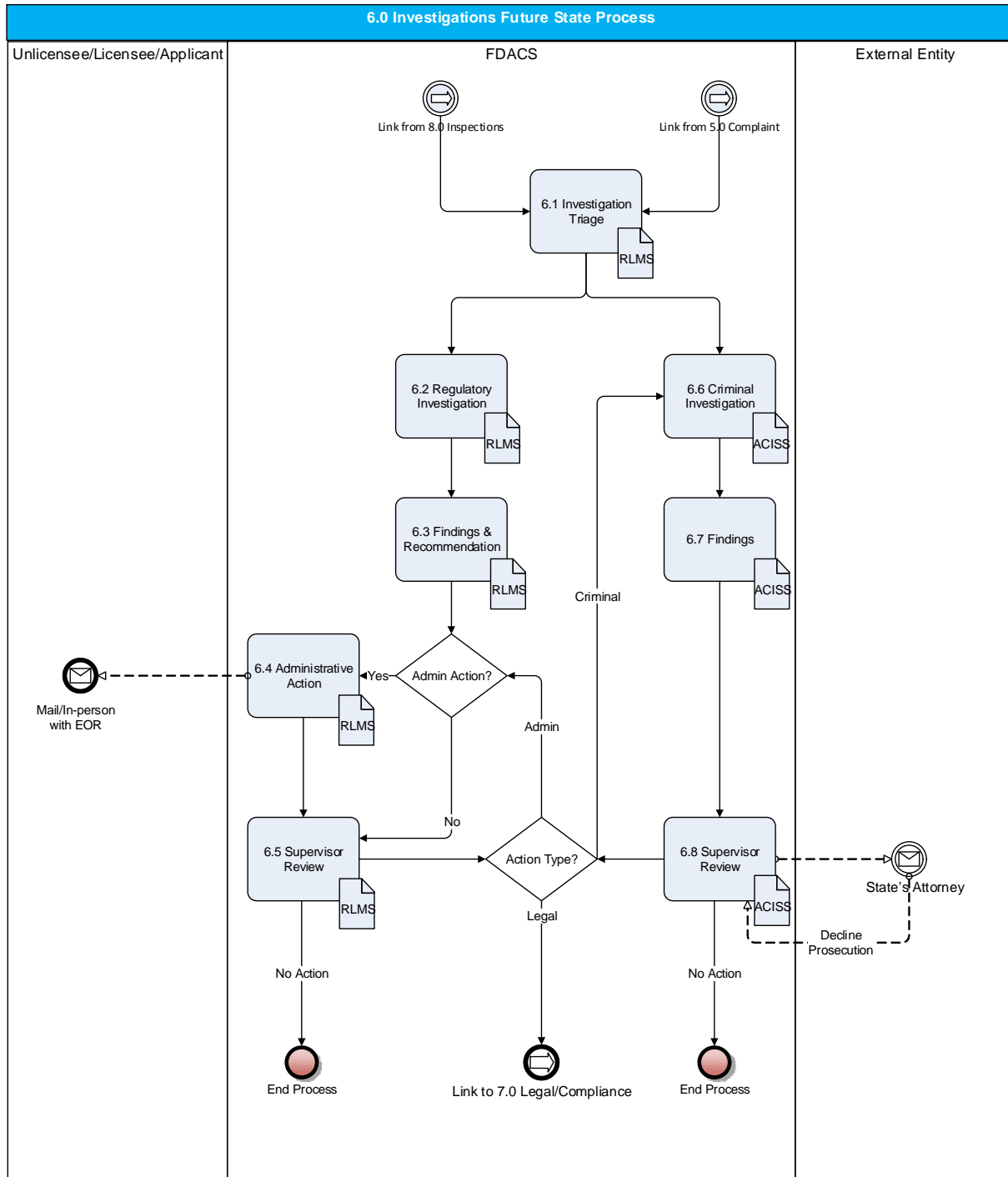


Exhibit 2: Process Diagram



### 6.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
6.1	Investigation Triage	Requests for investigations are received and routed to the investigation supervisor in the region nearest the location associated with the investigation.  Investigations can be requested as a result of a Complaint (5.0 Complaint) or as a result of the 8.0 Inspection process.	FDACS
6.2	Regulatory Investigation	The regional investigation supervisor assigns the case to a regulatory investigator who conducts the investigation.  RLMS will provide a repository to record various investigative actions and documents.	FDACS
6.3	Findings & Recommendations	Once an investigation is complete, an investigator will create a findings and/or recommendations report.	FDACS
6.4	Administrative Action	Depending upon the particulars of the case, an investigator may choose to initiate a field administrative action (FDACS policy guidelines will dictate what actions are authorized by various participants in the investigation process). If a field administrative action is taken, the appropriate parties are notified and provided with an Election of Rights (EOR) form which outlines their legal rights to seek redress.  All Findings and Recommendations are sent to a supervisor for review, including those that resulted in the issuance of an administrative action.	FDACS
6.5	Supervisor Review	A supervisor reviews all Findings and Recommendations created by investigators, including administrative actions which may have been issued prior to review.  For each case, a supervisor may determine that no further action is required (i.e., any administrative actions which may have been issued are acceptable, or that no action needs to be taken on the case). In those instances, the case is closed.  A supervisor may also decide that a case should result in an initial or modified administrative action (the case is sent back to 6.4 Administrative Action), require legal review (routed to 6.0 Legal), or may involve potential criminal activity (sent to 6.6 Criminal Investigation).	FDACS
6.6	Criminal Investigation	Criminal investigation cases are recorded in the ACISS system which is separate and distinct from RLMS.	FDACS
6.7	Findings	Once an investigation is complete, an investigator will create a findings and/or recommendations report.	FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
6.8	Supervisor Review	A supervisor reviews all findings and recommendations created by assigned investigators.  For each case, a supervisor may determine that no further action is required. In those instances, the case is closed.	FDACS

**Exhibit 3: Process Activities**

**6.4 PROCESS AREAS FOR IMPROVEMENT**

Exhibit 4 lists process improvement opportunities within the current state process.

OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
Once an investigator has issued an administrative action in the field, he/she should not be required to monitor whether the licensee has paid the associated fine.	Policy	Tracking the payment of fines is an administrative financial activity , thus should be monitored and addressed within the Bureau of Regulatory Enforcement.

**Exhibit 4: Process Improvement Opportunities**

**6.5 GAPS**

Exhibit 5 lists gaps within this process.

GAP DESCRIPTION	IMPACT
N/A	N/A

**Exhibit 5: Gaps**

**6.6 METRICS**

Exhibit 6 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
Administrative actions initiated by investigators	Monthly
Administrative actions modified or removed during supervisory reviews	Monthly
Cases referred to Legal, Criminal, State's Attorney	Monthly
Number of cases referred to State's Attorney which were declined for prosecution	Monthly

**Exhibit 6: Metrics**





## 6.7 ANALYTICS AND REPORTS

Exhibit 7 lists analytics and reports identified in this process.

DESCRIPTION	FREQUENCY	TYPE
Counts of cases by type (regulatory, criminal)	Monthly	Management
Cases assigned to each investigator (total, complete, aging reports)	Monthly	Management

### Exhibit 7: Analytics and Reports

## 6.8 STAFF INTERVIEWED

Exhibit 8 lists the FDACS team members who were interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.

NAME	AGENCY	ORGANIZATION	TITLE
Paul Pagano	FDACS	Division of Licensing	Assistant Director
Ed Warren	FDACS	Division of Licensing	Bureau of Regulation and Enforcement Chief
John Raymaker	FDACS	Division of Licensing	Attorney Supervisor
Lisa Trimble	FDACS	Division of Licensing	Regulatory Supervisor Consultant
Ken Wilkinson	FDACS	Division of Licensing	Division of Licensing Subject Matter Expert
Jerry Bryan	FDACS	AgLaw	Director
Glenn Kramer	FDACS	AgLaw	Bureau of Investigative Services Chief
Richard Strong	FDACS	AgLaw	Regulatory Investigations Section Chief
Daniel Williamson	FDACS	AgLaw	Law Enforcement Major
Mike Matthews	FDACS	Division of Licensing	Investigation Manager

### Exhibit 8: Interview Participants



## ATTACHMENT 7 LEGAL/COMPLIANCE PROCESS

### 7.1 PROCESS INFORMATION

Functional Areas	Compliance/Inspection/Enforcement
Process	Legal
Owner	FDACS

#### Exhibit 1: Process Area

### 7.2 PURPOSE OF THE PROCESS

The Bureau of Regulation and Enforcement (BRE) is the legal/regulatory enforcement arm of the Division of Licensing (DoL) within the Florida Department of Agriculture and Consumer Services (FDACS). BRE is responsible for identifying and resolving legal issues associated with licensing activities under F.S. 493 and 790. BRE staff includes attorneys, consultants and compliance officers.

The Bureau of License Issuance (BLI) is primarily tasked with pre-licensure activities which generally include the research and validation of applications made for various licenses included under F.S. 493 and 790. From a legal perspective, BLI has the authority to deny the issuance of a license (initial or renewal) and to suspend the processing of a 790 application pending further action/information. BLI’s standing in the legal realm is important as Election of Rights (EOR) forms which request administrative redress for denials and application suspensions may be routed to BLI for review before formal or informal hearings are conducted in response to an EOR filing.

The information outlined in this document addresses a large segment of BRE’s business processing from a legal perspective and includes:

- Election of Rights (requests for formal/informal hearings)
- Bad Checks (insufficient funds, “NSF”) where applicable
- Processing the “match” reports received from the Florida Department of Law Enforcement (FDLE), the Florida Department of Corrections (DOC), and the Florida Department of Highway Safety and Motor Vehicles (DHSMV) which include potentially disqualifying events associated with license holders
- Complaints (which may require legal review/action)
- Recommendations for review of information gleaned through an inspection or investigatory process
- Employee Action Reports (EAR) which include dismissal for cause requiring legal review/action)

BRE legal staff may become involved in pre-licensure activities as a result of an applicant requesting a hearing to address a denial of a license decision made by BLI, or when an



application process is suspended by BLI for myriad reasons. When an existing license is suspended or revoked, the BRE legal team may also conduct a review. The process outlined in this document discusses the pre-hearing processes; the hearing process itself is described in a separate document, *7.11 Hearings*.

After the Fiscal section (see *2.0 Fiscal*) has identified and attempted to resolve payment issues (e.g., the department received a check for a license renewal, and it is returned by the bank due to insufficient funds), BRE may become involved to suspend or revoke an existing license pending payment by a licensee. BRE may also initiate action when an initial applicant's payment is returned by the bank where applicable.

DoL receives reports of arrests, incarcerations, probationary activities, driving under the influence (DUI) incidents, and domestic violence incidents (DVI) which may represent disqualifying events for existing FDACS license holders (primarily, licenses issued under F.S. 493 and 790). The DoL matches the data received from various external agencies against a list of current applicants and license holders and generates various reports for matches found (i.e., an arrest/charge is present for an existing licensee). Once matched, BRE undertakes a review to determine if the event(s) warrant the suspension or revocation of a license. BRE may also track cases where an arrest notification is received and disposition has not been entered.

BRE may receive complaints which warrant legal attention from internal FDACS processes or from entities external to FDACS. BRE undertakes processes to address/resolve the legal aspects of complaints which may result in the suspension or revocation of an existing license or which may result in the initiation of further legal action associated with a license holder or non-licensed entities.

FDACS undertakes periodic inspection activities (pre-license, post-license, ad-hoc) which may require involvement by BRE. In most instances, inspections which uncover activities requiring potential legal action are routed to the Office of Agricultural Law Enforcement (AgLaw). During the course of an investigation, or once the investigation is complete, AgLaw may refer a case to BRE for additional legal review/action.

Agency employers are responsible for reporting to FDACS all personnel activities associated with hiring and termination by filing EARs with the department. Employees may terminate their employment at will (i.e., they resign) or may be terminated for cause. In those instances where cause is involved, BRE may review the termination to determine whether a potentially disqualifying event should result in additional FDACS action (e.g., suspending or revoking a license).

The process depicted in Exhibit 2: Process Diagram documents the steps necessary to receive, triage (i.e., to determine the nature and relative importance of an item received, and route it correctly for further action, as appropriate), and research a wide variety of artifacts which may be received by BRE. As previously noted, requests for hearings are routed directly to specialized hearing staff who are not a part of the BRE organization; the hearing process is described in a separate document, *7.11 Hearings*.

Beginning Points:



- Legal-related artifacts are received through *7.1 Intake*.
- Requests for hearings involving suspensions or denials may be received from BLI after review of EOR forms and associated correspondence.
- Requests for hearings involving current licensees are routed to BRE attorneys, non-attorney staff.

#### Ending Points:

- A complaint may be closed without action.
- A case is closed after the recommended actions are complete.
- Activity is routed to the hearing process (*7.11 Hearing*).
- A decision is made to issue a license; processing is routed to *3.0 Verification*.

#### Assumptions:

- Informal hearing requests for licensee disciplinary cases are routed to attorneys and non-attorney staff for review and then to hearing officers if necessary; formal hearing requests involving licensees are routed to BRE attorneys and non-attorney staff.
- Informal hearing requests for license application matters are routed to BLI if documents are attached. If not, the hearing request is routed to a hearing officer.
- As part of their EOR review process, BLI may rescind a decision to deny a license or lift the suspension of processing for an application.



### 7.3 PROCESS DIAGRAMS

#### 7.3.1 FUTURE STATE PROCESS DIAGRAM

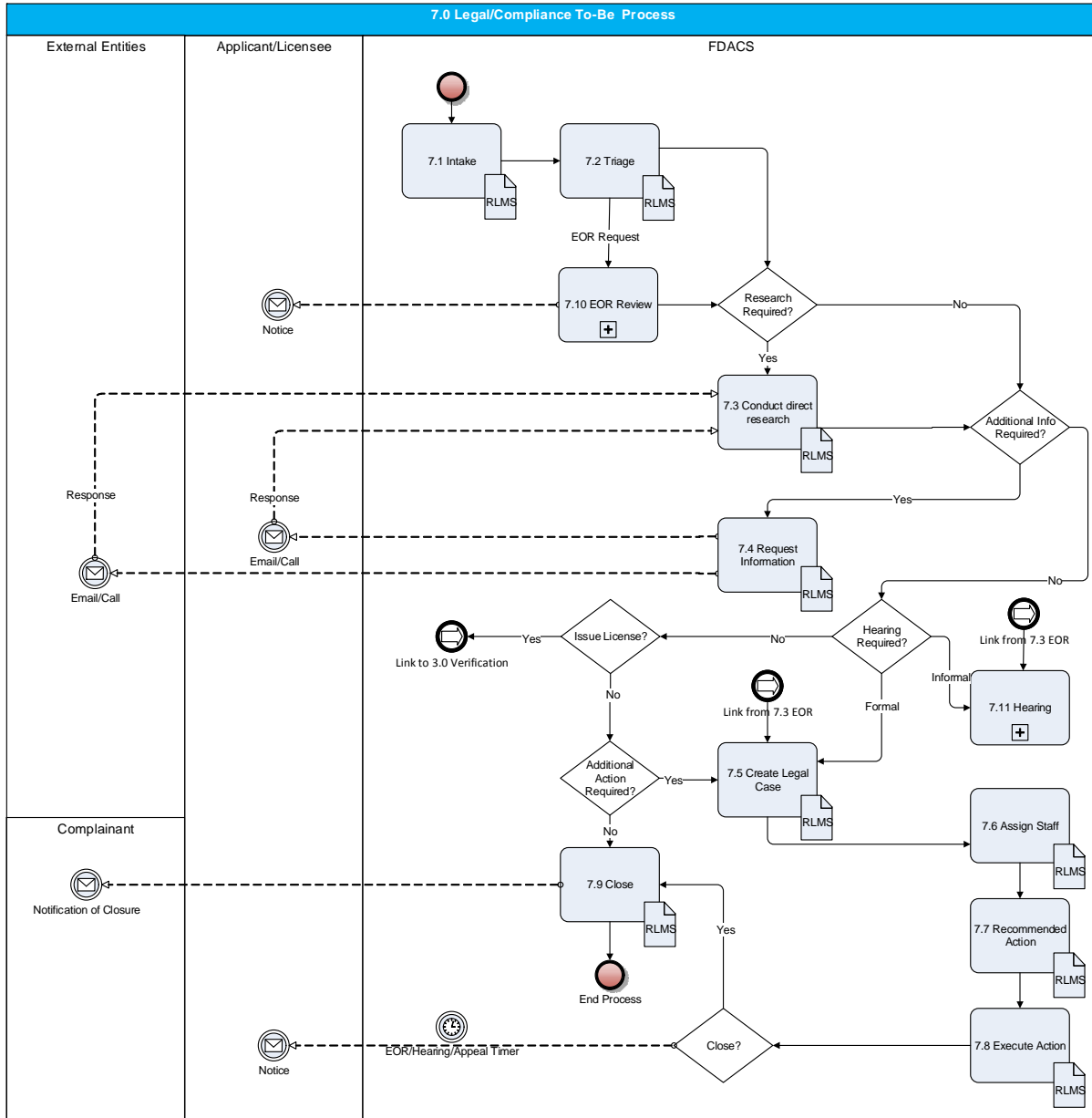


Exhibit 2: Process Diagram



### 7.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
7.1	Intake	<p>A variety of work items are routed through various input mechanisms to the department’s legal team. Some artifacts, such as requests for hearings, come from applicants or licensees. In some cases, a work item may be sent to the legal team for review or for action as a result of other FDACS functions (e.g., something is discovered as part of an investigation or a complaint is received which potentially involves legal issues).</p> <p>When staff receive information, documents, or correspondence which necessitates legal review, the items are routed to Legal for assessment and adjudication.</p>	FDACS
7.2	Triage	<p>Upon receipt, the legal team attempts to determine the nature and relative importance of the item, and to whom it should be routed for further action, if necessary. Some items received may include:</p> <p>Elections of Rights requests which require staff to input the date of the request. If no supporting documentation is provided or the system determines the original application to be beyond the system's ability to continue processing using the original information (i.e. Finger print submission past 6 months) then the system can be configured to deem the request untimely and/or correspondence is sent to the requestor indicating the request falls outside the prevailing guidelines and provides information about alternative actions they can perform. The process outlined here assumes a paper EOR has been received and staff is inputting the information on behalf of the requester.</p> <p>“Match” Reports are received from FDLE, DOC, and/or DHSMV which include potentially disqualifying events associated with applicants and license holders.</p> <p>Complaints on a license holder may require legal review/action.</p> <p>Recommendations for Review - information gleaned through an inspection or the investigatory process.</p> <p>EARs indicating a dismissal for cause may require additional review/action.</p>	FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		Each item is reviewed to determine what it is and whether it is “complete” (is there enough information to determine where it needs to be routed, or whether triage staff need to conduct additional research before sending it along to attorneys and non-attorney staff for review).	
7.3	Conduct Direct Research	<p>For each work item routed to the legal triage process, staff attempts to identify the item and ensure all the information necessary to process the work item is present; passing along incomplete and/or inaccurate information introduces errors which must be resolved during subsequent processing.</p> <p>In this process step, staff use all available resources (e.g., RLMS, online data resources, public websites, and government systems) to fully research and/or document a particular work item to prepare it for further processing.</p> <p>While processing the “match” reports, staff attempt to ensure the events shown on the report are tied to the correct licensee. They may, for instance, access RLMS, the Clerks of the Court system (CCIS), contact FDLE, etc. Once they determine an event is disqualifying, staff flag the license for suspension or revocation pending further review.</p>	FDACS
7.4	Request Information	<p>In the course of researching a particular item of work, staff may determine it is necessary to contact or correspond directly with external entities. The contact may involve correspondence sent to someone who has requested a hearing, or request additional information from FDLE about a particular charge appearing on a criminal history report (RAP sheet).</p> <p>This process activity involves the mechanisms provided by RLMS to contact/correspond with external entities to gather additional information. It may include emails, letters, or forms. Once the information is received, it is sent back to process 7.3 <i>Conduct Direct Research</i> for review.</p>	FDACS
7.5	Create Legal Case	Staff create a new legal case with a new case number (system assigned). The new case contains all appropriate documents and images, depending upon the nature of the case itself. Cases may include license applications, investigation reports, complaints, EARs, match report results, etc.	FDACS
7.6	Assign Staff	<p>Once a case is created, it is assigned to a particular staff member which may be attorney, Compliance Officer or Consultant.</p> <p>Note: the allocation/distribution of cases is dependent upon the business rules determined by FDACS/DoL. The system may distribute cases based on workload, case type, or other criteria adopted and enforced by DoL management.</p>	FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
		A BRE staff member reviews all relevant information and prevailing legal guidance and decides what should be done.	
7.7	Recommended Action	<p>Once a case is reviewed, staff issues a decision on the case and documents a recommended action to instruct staff what to do to resolve the case.</p> <p>Actions may include:</p> <ul style="list-style-type: none"> <li>▪ Revocation</li> <li>▪ Suspension</li> <li>▪ Denial</li> <li>▪ Close with no further action</li> </ul> <p>The staff's action may create a right on behalf of the affected party or parties. Correspondence is issued and includes the decision, any rights which may arise as a result of the decision (e.g., revoking someone's license usually results in a right to request a hearing), and a timeliness clock is started to determine if subsequent requests are filed within the timeframe allowed under law.</p>	FDACS
7.8	Execute Action	Upon receipt, staff perform the actions directed in the attorney's recommended action.	FDACS
7.9	Close	<p>Once all necessary action has been taken, the work item is closed, and all interested parties are notified of the results.</p> <p>Note: This process may or may not include the actual closure of a case in RLMS. For instance, a complaint may result in review by the legal staff, but it doesn't require review by an attorney. No hearing has been requested, no license is issued, no further information is required, and no action is required.</p>	FDACS
7.10	EOR Review	Election of Rights (EOR) forms are processed in accordance with the Future State EOR Sub-Process Diagram of this document.	FDACS
7.11	Hearing	<p>When it is determined a request for hearing is timely and all the information necessary to process the request has been satisfied, the requests are routed to process <i>7.11 Hearing</i>.</p> <p>The Future State Hearing Sub-Process Diagram in this document portrays the processing steps and activities associated with hearings.</p>	FDACS

### Exhibit 3: Process Activities





### 7.3.3 FUTURE STATE EOR SUB-PROCESS DIAGRAM

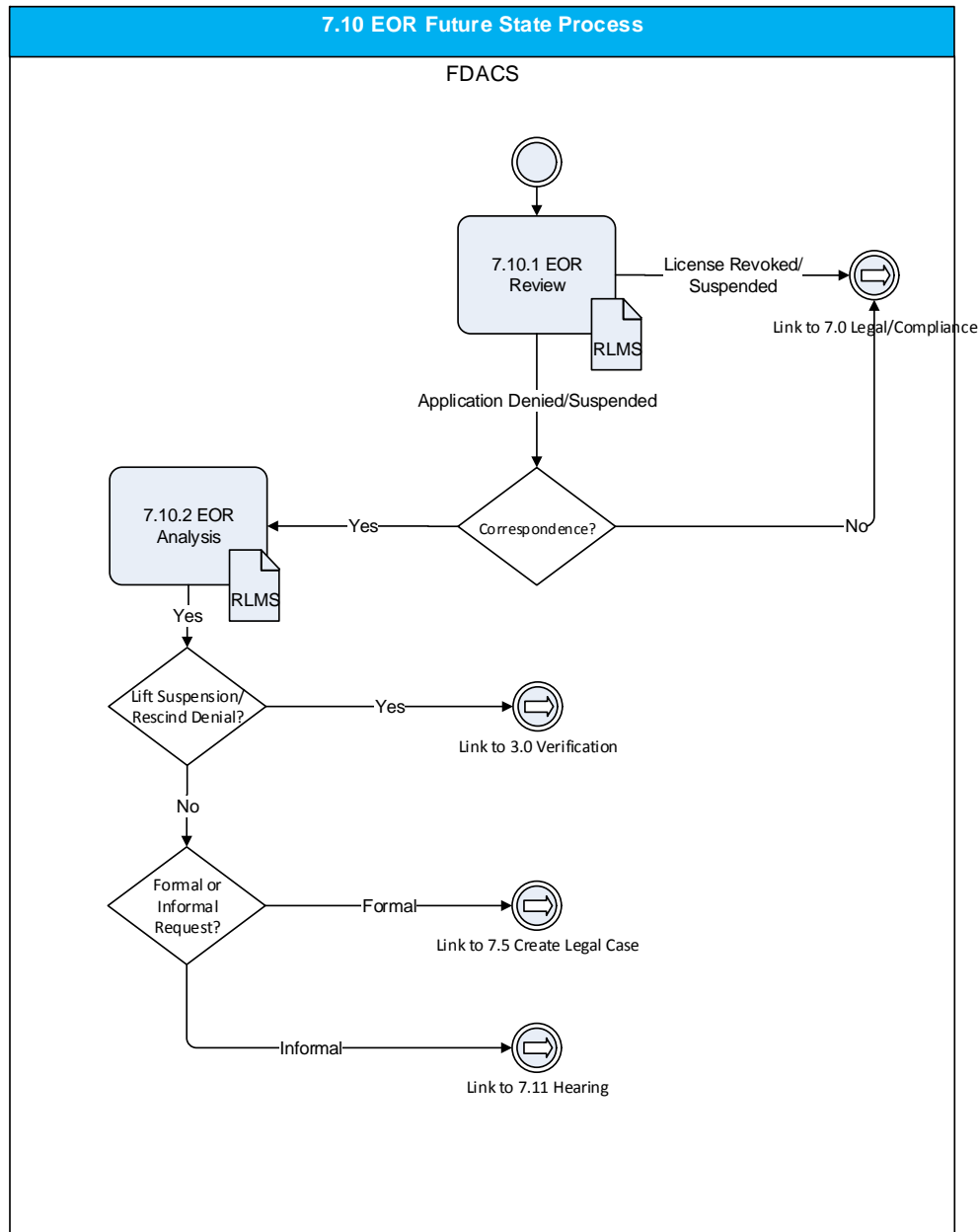


Exhibit 4: Process Diagram

### 7.3.4 FUTURE STATE EOR SUB-PROCESS ACTIVITIES

Exhibit 5 lists the activities that make up the process and describes in further detail the work of each activity by role.



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
7.10.1	EOR Review	<p>An EOR for a revoked or suspended license is received it is review and appropriate action is taken by Legal/Compliance.</p> <p>If an EOR for a denial or 790 suspension of application includes correspondence, the package is routed to the BLI Chief for review/action.</p> <p>Note: EOR forms contain check boxes.</p> <p>All EORs requesting an informal hearing without any accompanying correspondence are routed to process <i>7.11 Hearing</i>.</p> <p>All EORs requesting a formal hearing without any accompanying correspondence are routed to <i>7.5 Create Legal Case</i>.</p> <p>EORs for post-licensure administrative action without any checks on the forms or with multiple checks without any accompanying correspondence are routed to <i>7.5 Create Legal Case</i>.</p> <p>EORs for a denial or 790 suspension of application without any checks on the forms or with multiple checks with accompanying correspondence are routed to the BLI Chief for review/action.</p> <p>If no hearing is requested, but correspondence is submitted, the work item is reviewed to determine whether the applicant is eligible for licensure of the 790 application should continue to be processed. If so, the work item is routed to <i>3.0 Verification</i>.</p> <p>If there is nothing further to be done, the work item is routed for closure (<i>7.9 Close</i>). Otherwise, staff create a legal case.</p>	FDACS
7.10.2	EOR Analysis	<p>BLI reviews the EOR and associated correspondence to determine if a sufficient basis is established to warrant rescinding the denial of a license or to lift the suspension of an application's processing by the department.</p> <p>If BLI determines the information is insufficient, the EOR is sent back to BRE for a hearing. Formal hearing requests go to BRE attorneys (<i>7.5 Create Legal Case</i>), Informal hearing requests are routed to BRE hearing officers (<i>7.11 Hearing</i>).</p>	FDACS

**Exhibit 5: Process Activities**



### 7.3.5 FUTURE STATE HEARING SUB-PROCESS DIAGRAM

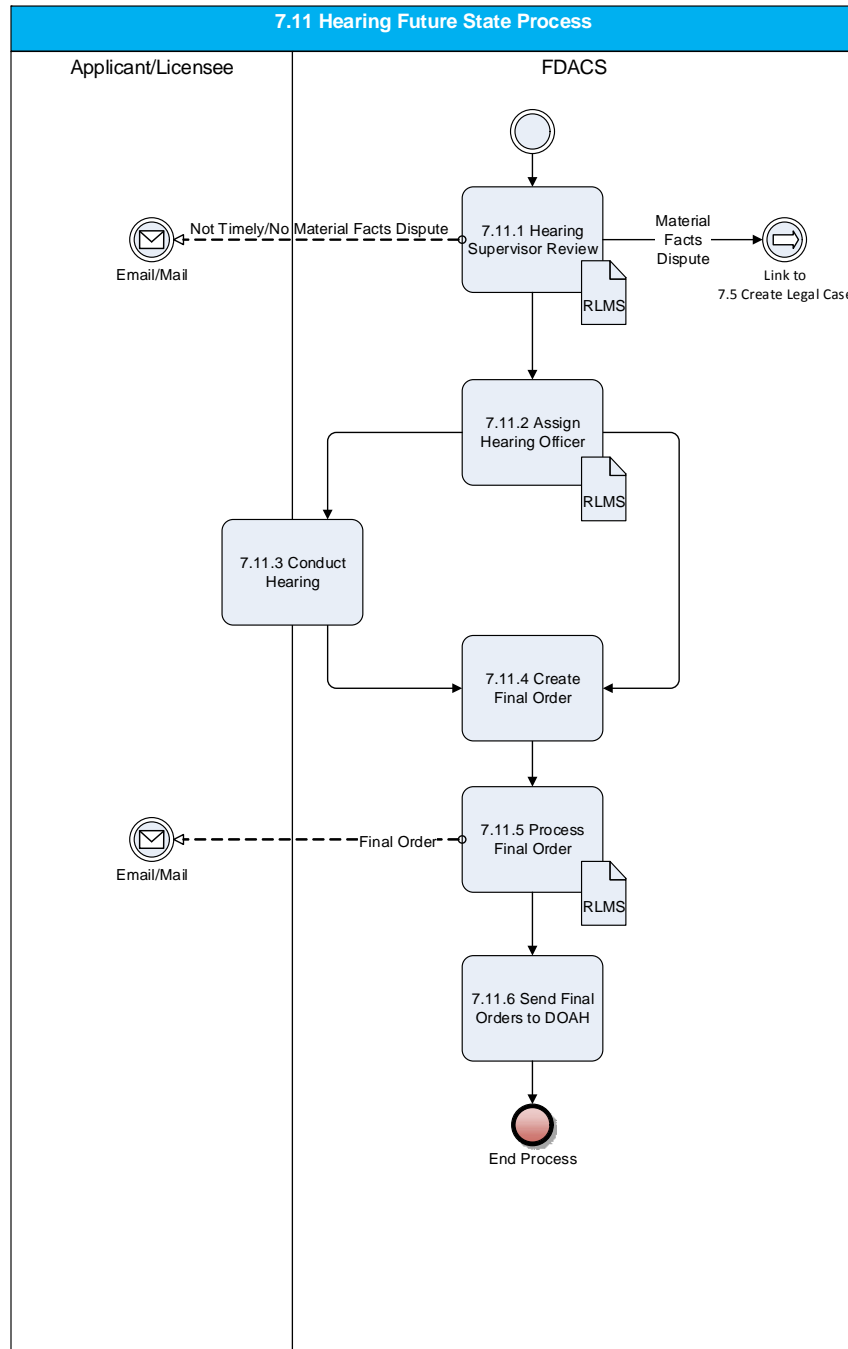


Exhibit 6: Process Diagram



### 7.3.6 FUTURE STATE HEARING SUB-PROCESS ACTIVITIES

Exhibit 7 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
7.11.1	Hearing Supervisor Review	Hearing requests are reviewed to determine if they are timely (hearings must be requested in the timeframes established by statute, or they are considered untimely and do not require action by the department). Requests are for formal or informal hearings.  If a formal hearing request is untimely or does not establish there are material facts in dispute, the requestors are notified their request for formal hearing has been denied, and they are provided with information about additional rights, if any, they may have.	FDACS
7.11.2	Assign Hearing Officer	Once a hearing request is determined to be timely, the case is assigned to a hearing officer. The hearing officer reviews the request and may schedule a hearing.  It is possible the information provided as part of a hearing request is sufficient for the reviewing attorney or non-attorney to issue a formal order without holding a hearing. In those cases, processing moves to 7.11.4 Create Final Order.	FDACS
7.11.3	Conduct Hearing	Hearings are held.  Note: There is no RLMS involvement in the hearing process.	FDACS
7.11.4	Create Final Order	A final order is prepared or pre-populated into a RLMS template .	FDACS
7.11.5	Process Final Order	Staff implement whatever is contained in the final order (e.g., reinstate a license, lift a suspension of an application, reverse a decision to deny a license).	FDACS
7.11.6	Send Final Orders to DOAH	By statute, all final orders issued by state agencies and departments must be sent to the Department of Administrative Hearings (DOAH).	FDACS

#### Exhibit 7: Process Activities

### 7.4 PROCESS AREAS FOR IMPROVEMENT

Exhibit 8 lists process improvement opportunities within the current state process.



OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
Barcode all outgoing and incoming communications.	Policy	Barcodes will allow immediate and accurate routing of all correspondence upon receipt in the mailroom. No staff resources would be required to research and route incoming correspondence.
Assess all existing communications (documents, letters, website); rewrite in clear and simple language, as necessary; re-write applications and forms to ensure content and intent are consistent with prevailing policies and appropriate business rules. If there is disqualifying information on a form, address that information first so subsequent processing will become unnecessary.	Policy	Clear, consistent communications with customers will reduce phone calls, emails, letters, etc. from customers who don't understand what they're being told or what they are being asked to do.

**Exhibit 8: Process Improvement Opportunities**

**7.5 GAPS**

Exhibit 5 lists gaps within this process.

GAP DESCRIPTION	IMPACT
N/A	N/A

**Exhibit 9: Gaps**

**7.6 METRICS**

Exhibit 10 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
N/A	N/A

**Exhibit 10: Metrics**

**7.7 ANALYTICS AND REPORTS**

Exhibit 11 lists analytics and reports identified in this process.



DESCRIPTION	FREQUENCY	TYPE
Legal Case Report (opened, assigned, closed, timing)	Monthly	Management
Actions Taken Report (none, referred to hearing, referred to attorney and non-attorney staff, time for direct research, time for additional research, referred for issuance)	Monthly	Management
External Correspondence (number sent, responses, time for responses)	Monthly	Management

**Exhibit 11: Analytics and Reports**

**7.8 STAFF INTERVIEWED**

Exhibit 12 lists the FDACS team members who were interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.

NAME	AGENCY	ORGANIZATION	TITLE
Grea Bevis	FDACS	Division of Licensing	Director
John Raymaker	FDACS	Division of Licensing	Attorney Supervisor
Laura Gallagher	FDACS	Division of Licensing	Bureau of License Issuance Chief
Beverly Springer	FDACS	Division of Licensing	Compliance Officer
Debra McMillan	FDACS	Division of Licensing	Compliance Officer Supervisor
Don Hockman	FDACS	Division of Licensing	Senior Attorney
Ken Wilkinson	FDACS	Division of Licensing	Division of Licensing Subject Matter Expert
Ed Warren	FDACS	Division of Licensing	Bureau of Regulation and Enforcement Chief
Stephanie Allen	FDACS	Division of Licensing	Regulatory Supervisor

**Exhibit 12: Interview Participants**



## ATTACHMENT 8 INSPECTION PROCESS

### 8.1 PROCESS INFORMATION

Functional Area	Compliance/Inspection/Enforcement
Process	Inspection
Owner	FDACS

Exhibit 1: Process Area

### 8.2 PURPOSE OF THE PROCESS

The Florida Department of Agriculture and Consumer Services Inspection process describes the tasks associated with conducting an inspection and determining what further action (e.g., levying a fine or issuing a warning), if any, may be appropriate. Inspections may be required as part of an application process for a license or a permit, an inspection may be required within a certain timeframe after license/permit issuance, or an inspection may be ad-hoc in nature and completed as time or circumstances permit.

Inspection schedules and guidelines may be established based on the prevailing business needs of various divisions and other organizational elements. For instance, inspections may be risk based (Proactive – risk factors are assessed and inspections are prioritized), incident based (Reactive – something happened or a complaint was filed), mandated (inspections must be completed in accordance with statute, rule, or policy), or for compliance (Random/Ad-Hoc – as time and resources permit).

Inspections may involve the physical presence of inspectors in the field (e.g., Fair Ride inspections), or they may be completed over the phone or the internet. For instance, desk-inspectors may follow-up with expired licensees to determine if they are still in operation by making a phone call.

#### Beginning Points:

- A complaint triggers an inspection.
- An inspection is completed based on a particular schedule.
- An incident or event creates the need for an inspection.
- An inspection is required for a newly licensed agency.
- An agency license expires (an inspection verifies the entity is no longer doing business).
- An inspection process leads to one or more other inspection processes.

#### Ending Points:



- No action is required as a result of an inspection.
- Facts or circumstances discovered during an inspection may require the involvement of the department's legal team (link to *7.0 Legal/Compliance*).
- Facts or circumstances discovered during an inspection may require a formal investigation (link to *6.0 Investigations*).
- An Administrative Action (e.g., a fine or a Notice of Noncompliance) may be issued.

Assumptions:

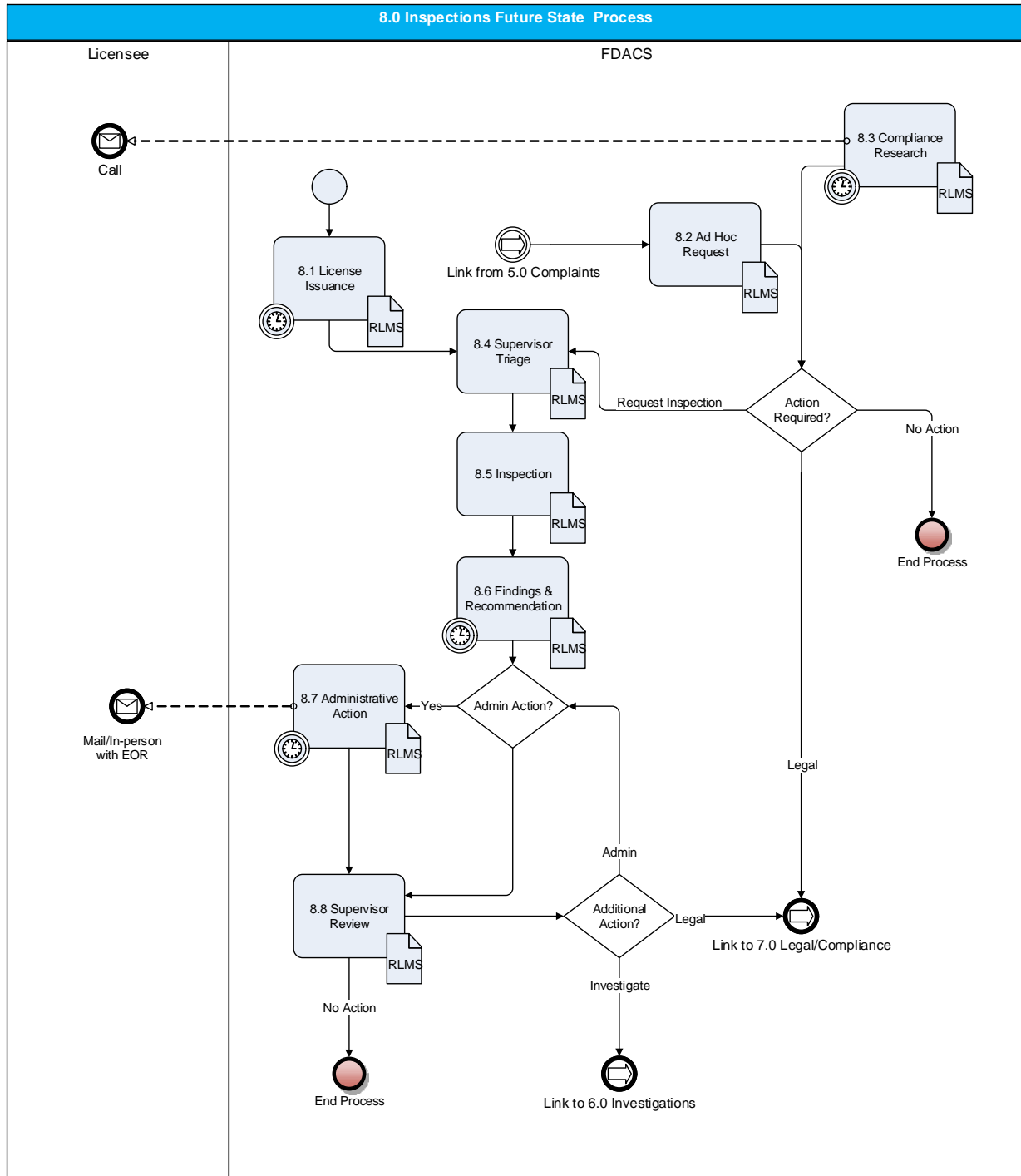
- All Administrative Actions which have an adverse effect on an applicant or licensee provide for redress (i.e., may be appealed through a hearing process).





### 8.3 PROCESS DIAGRAMS

#### 8.3.1 FUTURE STATE PROCESS DIAGRAM



**Exhibit 2: Process Diagram**



### 8.3.2 FUTURE STATE PROCESS ACTIVITIES

Exhibit 3 lists the activities that make up the process and describes in further detail the work of each activity by role.

INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
8.1	License Issuance	Some regulatory functions and licensing activities require a subsequent inspection. For instance, once a Recovery Agent School (RS) or Security Officer School (DS) license is issued, the department has four months to inspect the licensee. The system has within it the ability to generate work items based on timeframes (e.g., days, weeks, or months). Once triggered, the inspection request is sent to <i>8.4 Supervisor Triage</i> .	FDACS
8.2	Ad Hoc Request	<p>Unforeseeable events (e.g., an accident), complaints, or discoveries made during an investigation may trigger an inspection.</p> <p>Requests for inspections are routed to a supervisor for review (<i>8.4 Supervisor Triage</i>).</p> <p>If administrative action is required as a result of an inspection, the inspection results are routed to a supervisor for review (<i>8.4 Supervisor Triage</i>). If legal review is required, the inspection findings are routed to legal (link to <i>7.0 Legal/Compliance/Compliance</i>).</p> <p>If no action is required, the process ends.</p>	FDACS
8.3	Compliance Research	<p>Expired Agency licenses or permits may initiate a timer. If an agency has not renewed their license or permit within the allowable timeframe for that license or permit, staff may conduct research to ensure the agency is no longer in operation.</p> <p>Requests for inspections are routed to a supervisor for review (<i>8.4 Supervisor Triage</i>).</p> <p>If action is required, inspection results are routed to a supervisor for review (<i>8.4 Supervisor Triage</i>). If legal review is required, findings are sent to legal (link to <i>7.0 Legal/Compliance</i>).</p> <p>If no action is required, the process ends.</p>	FDACS
8.4	Supervisor Triage	A supervisor will review each inspection request. Requests for inspections are routed in accordance to the particulars associated with the inspection.	FDACS
8.5	Inspection	The assigned inspector will conduct the inspection.	FDACS



INDEX	ACTIVITY LABEL	ACTIVITY DESCRIPTION	ACTOR(S)
8.6	Findings & Recommendations	The inspector will complete the appropriate inspection forms and may create a findings and/or recommendations report at the end of the inspection.	FDACS
8.7	Administrative Action	Depending upon the particulars of the case, an inspector may choose to initiate an administrative action (FDACS policy guidelines dictate what actions are authorized by various participants in the inspection process). If an administrative action is taken, the appropriate parties are notified and provided with an Election of Rights (EOR) form which outlines their legal rights to seek redress.  All Findings and Recommendations are sent to a supervisor for review, including those that resulted in the issuance of an administrative action.	FDACS
8.8	Supervisor Review	A supervisor reviews all findings and recommendations. A supervisor may choose to initiate (or modify) an administrative action, refer a case to legal (link to <i>7.0 Legal/Compliance</i> ), or recommend an investigation (link to <i>6.0 Investigations</i> ).  For each inspection reviewed, a supervisor may determine that no further action is required. In those instances, the process ends.	FDACS

### Exhibit 3: Process Activities

#### 8.4 PROCESS AREAS FOR IMPROVEMENT

Exhibit 4 lists process improvement opportunities within the current state process.

OPPORTUNITY DESCRIPTION	RULE/ POLICY/ STATUTE	BENEFIT
N/A	N/A	N/A

### Exhibit 4: Process Improvement Opportunities

#### 8.5 GAPS

Exhibit 5 lists gaps within this process.

GAP DESCRIPTION	IMPACT
N/A	N/A

### Exhibit 5: Gaps



## 8.6 METRICS

Exhibit 6 lists metrics within this process.

METRICS DESCRIPTION	FREQUENCY
The number of inspections performed (by inspector, by date range, by type, by outcome).	Monthly
The number of inspections performed by license type.	Monthly
The duration of an inspection (by inspector, by date range, by type, by outcome).	Monthly

**Exhibit 6: Metrics**

## 8.7 ANALYTICS AND REPORTS

Exhibit 7 lists analytics and reports identified in this process.

DESCRIPTION	FREQUENCY	TYPE
Compliance Inspection Report DACS-16034 (eff. 7/96)	Monthly	Management
New License Inspection Report DACS-16030 (eff. 7/96)	Monthly	Management
School Inspection Report DACS-16031 (eff. 6/95)	Monthly	Management

**Exhibit 7: Analytics and Reports**

## 8.8 STAFF INTERVIEWED

Exhibit 8 lists the FDACS team members who were interviewed during the documentation process. Since documentation of the process was iterative in nature, some of the following individuals may have provided additional input during informal conversations or via phone/email.

NAME	AGENCY	ORGANIZATION	TITLE
Paul Pagano	FDACS	Division of Licensing	Assistant Director
Ed Warren	FDACS	Division of Licensing	Bureau of Regulation and Enforcement Chief
John Raymaker	FDACS	Division of Licensing	Attorney Supervisor
Lisa Trimble	FDACS	Division of Licensing	Regulatory Supervisor Consultant
Ken Wilkinson	FDACS	Division of Licensing	Division of Licensing Subject Matter Expert
Jerry Bryan	FDACS	AgLaw	Director
Glenn Kramer	FDACS	AgLaw	Bureau of Investigative Services Chief
Richard Strong	FDACS	AgLaw	Regulatory Investigations Section Chief
Daniel Williamson	FDACS	AgLaw	Law Enforcement Major
Marla Sweet	FDACS	Division of Licensing	Compliance Officer Supervisor
Mike Matthews	FDACS	Division of Licensing	Investigation Manager
Amy Topol	FDACS	Consumer Services	Assistant Director
Earl Davis	FDACS	Consumer Services	Inspector

**Exhibit 8: Interview Participants**

## **FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

### **REGULATORY LIFECYCLE MANAGEMENT SYSTEM – PRE-DESIGN, DEVELOPMENT, AND IMPLEMENTATION PROJECT**

#### *Use Cases*

Date: 03/09/2016  
Version: 100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
02/05/2016	North Highland	001	Initial draft.
02/09/2016	North Highland	002	North Highland QA reconciliation.
02/10/2016	North Highland	003 - 006	Updates post-North Highland QA.
02/11/2016	North Highland	007	Draft deliverable updated for FDACS submission.
02/24/2016	North Highland	008	FDACS Review reconciliation.
03/07/2016	North Highland	009	Issue 008 Remediation.
03/08/2016	North Highland	010	Final draft
03/09/2016	North Highland	100	Baseline

### Quality Review

NAME	ROLE	DATE
Sammantha Ahrens	North Highland QA	02/08/2016
FDACS	FDACS Review	02/12/2016



## SECTION 1 INTRODUCTION

Use Cases describe actions or events, typically defining the interactions between a role (generally a user, known as an actor) and a system, to achieve a goal. The actor can be a human, an external system, or time. Each Use Case is a series of events from the point of view of the actor.

Use Cases describe, in easy-to-understand terms, how users may interact with a system to perform some function (e.g., to apply for a license). The final system functionality is determined during detailed design sessions in conjunction with the implementation vendor.

These Use Cases are not intended to document every activity or scenario which may be supported in a future Regulatory Lifecycle Management System (RLMS); it is not necessary to create sample Use Cases for every interaction. Instead, these Use Cases illustrate and communicate the department's higher level, conceptual needs to the vendors during the project's procurement phase.

The Use Cases align closely with the core business processes defined and documented during the Business Process Re-engineering phase of the Project and illustrate how requirements might be satisfied through actor/system interactions. They do not define specific design aspects of a future RLMS, nor do they cover each and every anticipated interaction between users and the system.

### 1.1 PURPOSE

The Use Cases contained within this document:

- Are business-focused, presenting example interactions between various actors (users) and the RLMS.
- Have been developed to illustrate and reinforce business requirements for the vendor, and are not meant to specify or limit the design of the RLMS.
- Are detailed to an extent necessary to impart a concept or idea to the reader about how the RLMS may support department business functions in the future RLMS system.
- Have been written to communicate the high-level needs of FDACS while providing the flexibility necessary to allow implementation vendors to meet these needs.

### 1.2 OVERVIEW OF ATTACHMENTS

The attachments that follow are individual business level Use Cases that illustrate some of the major functions that may be performed by External Users (applicants, licensees, entities, customers, etc.) and Internal Users (FDACS staff, contractors, etc.) in the RLMS system in support of the FDACS regulatory mission. Use Cases were created using the Core Business Processing Re-engineering diagrams developed in conjunction with the Division of Licensing



(DoL) and the Division of Administration (DoA) staff as well as information gathered through enterprise workshops with representatives from the other participating divisions and offices within the department.

The [Pre-DDI glossary of terms](#) is linked for reference.

The exhibit below highlights the items documented in a Use Case.

ITEM	ITEM DESCRIPTION
Context of Use Case	The description briefly conveys the purpose of the Use Case.
Scope	All Use Cases fall within the scope of the Regulatory Lifecycle Management System.
Level	The Level defines who or what embodies the goal of a particular Use Case. Usually, the Level is categorized as something to be accomplished on behalf of a User (a "User Goal").
Primary Actors	Description of User(s) who will interact with the system to achieve the purpose of the Use Case. May also include role names for primary actors (e.g., Supervisor) or a description (e.g., applicant, licensee).
Stakeholders and Interests	Stakeholders are individuals or organizational entities which have some interest in the outcome of a particular Use Case. Each stakeholder is identified (e.g., an applicant) along with the interest they have (e.g., to procure a license) in the execution of the Use Case.
Pre-conditions	Pre-conditions describe the state of the system prior to a Use Case being performed. The Use Case cannot begin until all pre-conditions are met.
Triggers	Triggers identify events that initiate a Use Case. This could be an external business event or system event that causes the Use Case to begin or it could be the first step in the normal flow.
Main Success Scenario	The Main Success Scenario defines the steps which must be completed in order for the use case to achieve its purpose as defined by the Context of Use. Use Case steps describe actions and responses between actors (usually Users) and the system. The Main Success Scenario describes what will happen if everything works correctly. If things do not work correctly, the Use Case branches to an Alternate Path.
Alternate Paths	An Alternate Path (or paths; often there are many in any given Use Case) describes the steps which are followed when something exceptional happens. For instance, if a User is asked to enter a password in the Main Success Scenario and the User enters an invalid password, an Alternate Path outlines all the steps necessary to address/resolve an invalid password situation.
Requirements	Represents a sample of the Pre-DDI requirements which theoretically could be addressed in a given Use Case. At the Pre-DDI phase, Use Cases are conceptual documents and lack design specificity; no solution is in place. Once a solution is identified, the awarded Vendor implementing the solution will develop detailed design Use Cases during the DDI phase and trace each approved requirement to each design Use Case.

**Exhibit 1: Use Case Item Descriptions**





## SECTION 2 USE CASE ATTACHMENTS

Each attachment documents a unique user interaction with the system. The following Use Cases are attached below:

1. Create Account
2. Create Online Account
3. Self-Service Portal
4. Generate Correspondence
5. Intake Application
6. Fingerprint
7. Intake Correspondence
8. Apply Payment
9. Refund Response
10. Verification
11. Research & Resolve
12. Error & Omission Response
13. Complaint
14. Public Records Request
15. Investigation
16. Administrative Action
17. Legal Intake
18. Legal Review
19. Hearing
20. Inspection
21. Create New or Configure Existing Business Rules and Workflows
22. Assess and Coordinate Regulatory Tasks
23. System Administration Configuration



## ATTACHMENT 1      CREATE ACCOUNT USE CASE

### 1.1    CONTEXT OF USE CASE

This Use Case describes the creation of an account by an Internal User on behalf of an External User in order to perform a business function (e.g., apply for a license, request a renewal).

The system may be able to create an account automatically (without human intervention) if the scanning/imaging and character recognition capabilities allow the extraction of data necessary to create an account. Auto account creation will be determined during design.

Note: For most regulatory activities, a user account is required to conduct business with the department.

### 1.2    SCOPE

- RLMS

### 1.3    LEVEL

- User Goal

### 1.4    PRIMARY ACTORS

- Internal User of the system

### 1.5    STAKEHOLDERS AND INTERESTS

- Internal User – Needs to create an account on behalf of an External User to perform a business function.
- External User – Needs to conduct business with the department without using the online self-service portal.

### 1.6    PRE-CONDITIONS

- The system must be online and available.
- A paper application filing/update has been received, scanned, and indexed.
- An account does not exist for the External User.

### 1.7    TRIGGERS

- Internal User selects application/renewal/update filing.



## 1.8 MAIN SUCCESS SCENARIO

**An account is created by an Internal User on behalf of an External User to support the processing of a business function.**

1. Internal User selects the application/renewal/update filing routed for account creation.
2. System displays option to create new account.
3. Internal User chooses to create a new account.
4. System solicits account information.
5. Internal User enters and confirms account information.
6. System stores account information and notifies Internal User that an account was created.
7. System generates User ID and password.
8. System notifies the External User that an account has been created using "Generate Correspondence."
9. Use Case ends.

## 1.9 ALTERNATE PATHS

There are no alternate paths for this Use Case.

## 1.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	6,7,9,18,19,22
	Research & Resolve	103
	Legal	185
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	CRM & IVR	271-327, 760, 769
	Database Architecture	328-335, 766-767
	Development & Support Service	336-352
	Disaster Recovery	353-360
	Events and Scheduling	361-372, 754-756, 765



TYPE	CATEGORY	REQUIREMENTS
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 2      CREATE ONLINE ACCOUNT USE CASE

### 2.1    CONTEXT OF USE CASE

This Use Case describes the creation of an online account in order to perform a business function (e.g., apply for a license, request a renewal).

Note: Users are required to authenticate with user credentials or unique identifying information to conduct business with the department depending on the configured business function.

### 2.2    SCOPE

- RLMS

### 2.3    LEVEL

- User Goal

### 2.4    PRIMARY ACTORS

- External User of the system

### 2.5    STAKEHOLDERS AND INTERESTS

- External User – Needs to conduct business with the department.

### 2.6    PRE-CONDITIONS

- The system must be online and available.

### 2.7    TRIGGERS

- External User chooses to perform a business function that requires an account.

### 2.8    MAIN SUCCESS SCENARIO

**An account is created to allow an External User to conduct a business function.**

1. External User navigates to the department's self-service portal.
2. System displays available business functions.
3. External User selects a business function.
4. System displays option to create new account.
5. External User selects create account option.
6. System displays valid User ID format.
7. External User enters User ID.
8. System validates User ID.
9. System displays valid password format.



10. External User provides password.
11. System validates password.
12. System stores User ID and password.
13. System solicits user account information.
14. External User enters and confirms account information.
15. System stores user account information and notifies External User an account was created.
16. System transfers user to selected business function.
17. Use Case ends.

## 2.9 ALTERNATE PATHS

### 5a. External User chooses to log in to existing account.

In the Main Success Scenario the External User chooses to log in to an existing account.

- 5a1. System prompts for User ID and password.
- 5a2. External User inputs User ID and password.
- 5a3. System validates User ID and password.
- 5a4. The Main Success Scenario is rejoined at Step 16.

### 5a3a. External User enters a login error.

In the Alternate Path, the User ID and password entered by the External User is rejected.

- 5a3a1. System displays invalid User ID and password message.
- 5a3a2. System prompts user using "Reset Login."
- 5a3a3. The Alternate Path is rejoined at Step 5a1.

### 8a. External User enters an invalid User ID.

In the Main Success Scenario the External User entered an invalid User ID (the User ID entered does not meet format requirements).

- 8a1. System displays a message that the User ID does not meet required format.
- 8a2. The Main Success Scenario is rejoined at Step 6.

### 8b. External User enters a User ID that already exists.

In the Main Success Scenario the External User entered an existing User ID (e.g., the User ID selected is already in use).

- 8b1. System displays a message that the User ID already exists.
- 8b2. The Main Success Scenario is rejoined at Step 4.

### 11a. External User enters an invalid password.



In the Main Success Scenario the External User entered an invalid password (the password does not meet format requirements).

11a1. System displays a message that the format is invalid.

11a2. The Main Success Scenario is rejoined at Step 9.

## 2.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	6,7,9,18,19,22
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
Usability	657-672, 775	
Workflow	673-750, 762, 776	

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 3 SELF-SERVICE PORTAL USE CASE

### 3.1 CONTEXT OF USE CASE

This Use Case describes the process an External User uses to perform various functions using the online system without staff assistance or intervention.

Important: This Use Case requires that the External User has already created an online account and is logged in to the system. The intent is to ensure that online accounts are only created when an External User invokes a particular business function.

Note: There are many options and functions which may be implemented in a self-service environment (e.g., account maintenance, check the status of an application, renew a license); the final functionality will be determined during detailed design sessions in conjunction with the vendor. This Use Case is provided only to demonstrate the potential for self-service activities.

### 3.2 SCOPE

- RLMS

### 3.3 LEVEL

- User Goal

### 3.4 PRIMARY ACTORS

- External User of the system.

### 3.5 STAKEHOLDERS AND INTERESTS

- External User – Needs to conduct business with FDACS.
- Internal User – Needs to conduct business with External Users.

### 3.6 PRE-CONDITIONS

- External User must have an account and be authenticated.

### 3.7 TRIGGERS

- External User navigates to the Self-Service Portal page and selects a function.

### 3.8 MAIN SUCCESS SCENARIO

**External User updates online account information.**

1. External User chooses to update his/her account.





2. System displays account information and solicits updates from the External User.
3. External User enters account information.
4. System validates account information.
5. External User confirms account information.
6. System stores User account information.
7. Use Case ends.

### 3.9 ALTERNATE PATHS

#### 1a. External User chooses to apply for a license.

In the Main Success Scenario, the External User chooses to apply for a license.

- 3a1. System transfers control to “License Application.”
- 3a2. Use Case ends.

#### 1b. External User chooses to change address for a license.

In the Main Success Scenario, the External User chooses to update the address associated with a license.

- 3b1. System transfers control to “Change Address.”
- 3b2. Use Case ends.

#### 1c. External User chooses to renew a license.

In the Main Success Scenario, the External User chooses to renew a license.

- 1c1. System transfers control to “Renew License.”
- 1c2. Use Case ends.

#### 1d. External User chooses to upload documents.

In the Main Success Scenario, the External User chooses to upload documents.

- 1d1. External User opts to upload a document.
- 1d2. System communicates with External User’s browser and operating system to support navigation to the file on the External User’s machine.
- 1d3. External User selects file to be uploaded.
- 1d4. System uploads file.
- 1d5. System prompts External User for file description.
- 1d6. User inputs file information.
- 1d7. System validates External User description information and indexes uploaded file to External User’s account.
- 1d8. Use Case ends.



### **1e. External User chooses to request an inspection.**

In the Main Success Scenario, the External User chooses to request an inspection.

- 1e1. System transfers control to “Inspection Request.”
- 1e2. Use Case ends.

### **1f. External User chooses to make a payment.**

In the Main Success Scenario, the External User chooses to make a payment.

- 1f1. System transfers control to “Apply Payment.”
- 1f2. Use Case ends.

### **1g. External User requests a form.**

In the Main Success Scenario, the External User chooses to download a form.

- 1g1. External User opts to download a form.
- 1g2. System displays list of downloadable forms.
- 1g3. External User selects form to be downloaded.
- 1g4. System communicates with External User’s browser and operating system to support navigation to the directory on the External User’s machine where the form is to be stored.
- 1g5. System prompts External User for file name.
- 1g6. External User accepts default file name or types in a new name for form.
- 1g7. System downloads form.
- 1g8. External User’s browser/system saves the form.
- 1g9. Use Case ends.

### **1h. External User files an Employee Action Report.**

In the Main Success Scenario, the External User chooses to file an Employee Action Report (EAR).

- 1h1. System transfers control to “File EAR.”
- 1h2. Use Case ends.

### **1i. External User chooses to respond to an Error & Omission letter.**

In the Main Success Scenario, the External User chooses to respond to an E&O letter.

- 1i1. System transfers control to “E&O Response.”
- 1i2. Use Case ends.

### **1j External User chooses to request the status of an application filing.**



In the Main Success Scenario, the External User chooses to see the status of an application filing.

- 1j1. System transfers control to “Check Filing Status.”
- 1j2. Use Case ends.

**4a. External User enters invalid account information.**

In the Main Success Scenario, the External User entered invalid account information.

- 4a1. System presents valid account information.
- 4a2. Main Success Scenario is rejoined at Step 2.

**5a. External User rejects account updates.**

In the Main Success Scenario, the External User wishes to discard account modifications.

- 5a1. System prompts External User to confirm updates are not desired.
- 5a2. External User confirms intent to reject updates.
- 5a3. System retains original account information.
- 5a4. Use Case ends.

**3.10 REQUIREMENTS**

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	1,3,4,6,7,10,15,19,22,23,26,27,28,30
	Verification	94,96
	Legal	139,143,156,171,181
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	CRM & IVR	271-327, 760, 769
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436



TYPE	CATEGORY	REQUIREMENTS
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 4 GENERATE CORRESPONDENCE USE CASE

### 4.1 CONTEXT OF USE CASE

This Use Case describes the department's process for generating correspondence. Correspondence may be created in order to communicate information to a recipient (e.g., notification of denial) or to request additional information necessary to continue processing of a business function from a recipient (e.g., Error & Omission letter).

Note: The focus of this Use Case is on correspondence generated within RLMS that requires user intervention prior to being published for the External User(s) to view (i.e., development and review of content). It is anticipated that numerous correspondence items will be generated by the system and published to the recipient(s) without human intervention.

### 4.2 SCOPE

- RLMS

### 4.3 LEVEL

- User Goal

### 4.4 PRIMARY ACTORS

- Internal User of the system.

### 4.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to communicate and/or request information.

### 4.6 PRE-CONDITIONS

- The system must be online and available.
- Internal User is authenticated.
- Recipient is identified.
- Correspondence templates and related template variables are identified.

### 4.7 TRIGGERS

- A piece of correspondence is required to be generated and distributed based on some business activity.

### 4.8 MAIN SUCCESS SCENARIO

**Internal User generates correspondence.**



1. System generates and presents a draft of the correspondence based upon the identified recipient(s) and correspondence template.
2. Internal User reviews and edits the draft correspondence.
3. System validates the draft correspondence.
4. Internal User confirms the draft correspondence.
5. System saves the correspondence.
6. Internal User publishes the correspondence.
7. System distributes the correspondence in accordance with system-based business rules.
8. Use Case ends.

## 4.9 ALTERNATE PATHS

### 1a. Multiple potential correspondence templates exist.

In the Main Success Scenario, multiple potential correspondence templates exist that may be used to communicate the intended content.

- 1a1. System presents template options.
- 1a2. Internal User selects a template.
- 1a3. The Main Success Scenario is rejoined at Step 1.

### 1b. Correspondence draft is incomplete and unpublished.

In the Main Success Scenario, the correspondence was previously saved but not published.

- 1b1. System retrieves and presents draft correspondence.
- 1b2. The Main Success Scenario is rejoined at Step 2.

### 1c. Internal User deletes draft correspondence.

In the Main Success Scenario, the correspondence has not been published and the Internal User deletes the correspondence.

- 1c1. System retrieves and presents draft correspondence.
- 1c2. Internal User deletes the draft correspondence.
- 1c3. System requests confirmation for deletion.
- 1c4. Internal User confirms the deletion.
- 1c5. System deletes the correspondence.
- 1c6. Use Case ends.

### 1d. Recipient information is updated.

In the Main Success Scenario, the correspondence has been published and updated recipient information exists. The Internal User re-generates the correspondence that was previously published using the updated recipient information.



- 1d1. System retrieves and presents prior correspondence.
- 1d2. Internal User edits the correspondence with the updated recipient information.
- 1d3. The Main Success Scenario is rejoined at Step 3.

**1e. Internal User approves unpublished correspondence.**

In the Main Success Scenario, the Internal User elects to publish a correspondence that was not previously published to the recipient.

- 1e1. System retrieves and presents draft correspondence.
- 1e2. The Main Success Scenario is rejoined at Step 6.

**4.10 REQUIREMENTS**

TYPE	CATEGORY	REQUIREMENTS
Functional	Research & Resolve	103,104,106
	Legal	129,130,154,185,186
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	CRM & IVR	271-327, 760, 769
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
Self-Service Portal	618-656	
Usability	657-672, 775	



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TYPE	CATEGORY	REQUIREMENTS
	Workflow	673-750, 762, 776

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*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*





## ATTACHMENT 5 INTAKE APPLICATION USE CASE

### 5.1 CONTEXT OF USE CASE

This Use Case describes the process used to intake new license and renewal application filings.

The focus of this Use Case is on the intake of hardcopy applications that require human intervention. It is anticipated online application filings will not require manual processing from Internal Users. The department could also procure an FBI-approved high-speed scanner to scan the entire paper application package in one pass, removing the need to scan and process each application filing component (i.e., paper check, 10-Print card) separately as documented in this Use Case.

Note: The system processes all application filings in the same manner regardless of who is inputting the information; the system treats Intake staff as if they were entering information on behalf of an External User.

### 5.2 SCOPE

- RLMS

### 5.3 LEVEL

- User Goal

### 5.4 PRIMARY ACTORS

- Internal User of the system

### 5.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to receive and process application filings in a timely fashion.
- External User – Needs department decisions for applications they have filed.

### 5.6 PRE-CONDITIONS

- The system must be online and available.
- Internal User is authenticated.
- An application filing is routed to Intake.

### 5.7 TRIGGERS

- Internal User chooses to process an application filing.



## 5.8 MAIN SUCCESS SCENARIO

### Internal User processes an application filing.

1. Internal User scans application filing contents into system.
2. System validates each application filing component in accordance with application type.
3. Internal User creates an account using “Create Account” if no account exists.
4. System processes payments using “Apply Payment.”
5. System processes fingerprints using “Fingerprint.”
6. System saves application filing information.
7. System creates a work item and routes the application filing to “Verification.”
8. Use Case ends.

## 5.9 ALTERNATE PATHS

### 2a. Internal User determines application is incomplete.

In the Main Success Scenario, Internal User determines the application filing has missing components.

- 2a1. Internal User identifies errors and/or omissions in the application filing.
- 2a2. Internal User flags each error and/or omission found in the application filing.
- 2a3. The Main Success Scenario is rejoined at Step 3.

## 5.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	1,3,4,7,10,15,20,21,22,23,26,27,28
	Fiscal	32
	Verification	94,95,96,97,101
	Research & Resolve	103,104,106
	Legal	181,185
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772



TYPE	CATEGORY	REQUIREMENTS
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 6 FINGERPRINT USE CASE

### 6.1 CONTEXT OF USE CASE

This Use Case describes the process used to collect fingerprints from applicants and to transmit the resulting electronic data to the Florida Department of Law Enforcement (FDLE). The process undertaken by FDLE (checking the fingerprints against state and federal biometric-based criminal history and other repositories) is out of scope for the RLMS application. The results of the FDLE checks are returned and processed, by the RLMS application.

Note: Not all applications require the submission of fingerprints for positive biometric-based identification. However, for those that do, RLMS will provide an ability for applicants to go to an agency to be fingerprinted (currently, F.S. 790 requires that fingerprints must be taken by a law enforcement agency, in a Regional Office, or in a certified Tax Collector's office; there is no such provision in F.S. 493), and to have those prints sent automatically to the FDLE for processing. The results of the FDLE processing are routed back to FDACS for additional scrutiny.

Applicants may also have their fingerprints "rolled" onto physical 10-Print card stock (this may be the case in a law enforcement agency which lacks livescan equipment, or for out-of-state applicants whose law enforcement agencies are not permitted to submit livescan data to FDLE). Applicants will have to mail the hardcopy cards to FDACS for subsequent scanning.

### 6.2 SCOPE

- RLMS
- Livescan Devices/Scanners

### 6.3 LEVEL

- User Goal

### 6.4 PRIMARY ACTORS

- Internal User of the system

### 6.5 STAKEHOLDERS AND INTERESTS

- External User – Needs to provide fingerprints to FDACS as part of an application filing.
- Internal User – Needs to collect positive biometric identification from applicants and submit them to FDLE in accordance with prevailing statutory mandates.



## 6.6 PRE-CONDITIONS

- Internal User is authenticated at a workstation.

Note: Fingerprint collection activities (physically rolling an applicant's fingerprints or scanning a physical 10-Print card) require the use of a specialized livescan device and/or scanner.

## 6.7 TRIGGERS

- Internal User selects an option to collect and input fingerprint data.

## 6.8 MAIN SUCCESS SCENARIO

### Internal User captures the applicant's fingerprint images.

Note: Livescan processing includes quality control mechanisms.

1. System (livescan) displays applicant demographics form (must be pre-populated as part of the application filing intake processing).
2. Internal User enters/updates applicant's demographics.
3. System (livescan) validates demographic information.
4. Internal User confirms demographic information.
5. System saves demographic information.
6. System (livescan) prompts User to roll applicant's fingerprints.
7. Internal User assists applicant in rolling fingerprints on livescan device.
8. System (livescan) captures fingerprint images.
9. System (livescan) validates fingerprint images.
10. System (livescan) routes images and demographic data for further processing by FDLE.
11. Use Case ends.

## 6.9 ALTERNATE PATHS

### 6a. Fingerprints are provided on a 10-Print Card.

In the Main Success Scenario, the Internal User scans a physical 10-Print card.

- 6a1. System (RLMS) prompts User to enter information to identify where 10-Print Card was created.
- 6a2. System (RLMS) validates 10-Print Card authority.
- 6a3. System (scanner) prompts User to place 10-Print Card on scanner.
- 6a4. Internal User places 10-Print Card on scanner and informs the system (scanner) the card is ready to be scanned.
- 6a5. System (scanner) scans 10-Print Card images.
- 6a6. System (RLMS) validates 10-Print Card images.
- 6a7. Main Success Scenario is rejoined at Step 9.



**6a2. 10-Print Card is invalid.**

In the Alternate Path, the 10-Print Card was not created by an authorized agency (physical 10-Prints must be taken by a Law Enforcement Agency).

- 6a2a1. System (RLMS) sets flag for invalid 10-Print Card (processed later and included on an E&O letter).
- 6a2a2. Use Case ends.

**6a6. 10-Print Card images are unreadable.**

In the Alternate Path, system could not validate the 10-Print Card images; the captured images did not pass the scanner's quality control threshold.

- 6a6a1. System (RLMS) sets flag for unreadable fingerprint card (processed later and included on an E&O letter).
- 6a6a2. Use Case ends.

**8a. Livescan fingerprint images are unreadable.**

In the Main Success Scenario, a fingerprint fails to pass the livescan quality control threshold, and the Internal User is prompted to capture the image again.

Note: This actually happens as each image is captured; that is, the livescan system doesn't wait to check for quality until all images are captured.

- 8a1. System (livescan) displays quality control check failure and prompts Internal User to roll finger (or, for flats, to place fingers) again.
- 8a2. Internal User assists applicant in rolling fingerprints (or flats) again.
- 8a3. Main Success Scenario is rejoined at Step 8.

**6.10 REQUIREMENTS**

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	3,4,6,7,18,22
	Research & Resolve	104
	Legal	181,185
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761



TYPE	CATEGORY	REQUIREMENTS
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 7 INTAKE CORRESPONDENCE USE CASE

### 7.1 CONTEXT OF USE CASE

This Use Case describes the process used to intake correspondence into the system. Correspondence may include mailed documents, faxes, or email. Correspondence may also be received from External Users via the self-service portal.

### 7.2 SCOPE

- RLMS

### 7.3 LEVEL

- User Goal

### 7.4 PRIMARY ACTORS

- Internal User of the system

### 7.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to receive mail, fax, or email correspondence.
- External User – Needs to communicate using mail, fax, or email.

### 7.6 PRE-CONDITIONS

- Internal User is authenticated and logged in to the system.
- Email is received, converted to an electronic document image, and sent to an Intake Specialist for review (unless the system can automatically determine proper routing).
- Faxes are received, converted to an electronic document image, and sent to an Intake Specialist for review (unless the system can automatically determine proper routing).
- Paper documents are scanned, imaged, and sent for review (unless the system can automatically determine proper routing based on a smart scanning capability like optical character recognition).
- Mail returned as undeliverable will route, automatically, to the appropriate work unit for resolution.
- System routes all unknown correspondence to an Intake work queue.

### 7.7 TRIGGERS

- Internal User chooses a work item from the queue.





## 7.8 MAIN SUCCESS SCENARIO

**Correspondence is received by the department and routed to the appropriate work unit for processing by an Internal User.**

1. Internal User retrieves a document image from a work queue.
2. System displays document image.
3. Internal User reviews the document image and provides information to index the work item.
4. System validates the input and determines routing for the work item.
5. System routes the work item to the appropriate work unit queue.
6. Use Case ends.

## 7.9 ALTERNATE PATHS

### 3a. Document is undecipherable or unidentifiable by Intake staff.

In the Main Success Scenario, a document image is received which cannot be read or does not contain sufficient information to enable routing.

- 3a1. System routes the document image to an Intake Supervisor.
- 3a2. Internal User reviews the document, and applies corrections if necessary.
- 3a3. Internal User provides information to enable routing.
- 3a4. The Main Success Scenario resumes at Step 4.

### 3a2a. Document is undecipherable or unidentifiable by Intake supervisor.

In the Alternate Path, a document image is received which cannot be read or does not contain sufficient information to enable routing by the Intake supervisor.

- 3a2a1. Internal User chooses to delete the document.
- 3a2a2. System displays a confirmation request for the delete.
- 3a2a3. Internal User confirms delete request.
- 3a2a4. System deletes the document image and solicits additional information from the External User using "Generate Correspondence."
- 3a2a5. Use Case ends.

## 7.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	3,4,7
	Verification	94,95,96



TYPE	CATEGORY	REQUIREMENTS
	Research & Resolve	103
	Legal	181,185,186
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775
Workflow	673-750, 762, 776	

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 8 APPLY PAYMENT USE CASE

### 8.1 CONTEXT OF USE CASE

This Use Case describes the process an Internal or External User uses to make a payment towards a balance due (e.g., application or renewal fee, late fee, fine).

Note: Internal Users can also apply payments received to the department in a non-electronic form (i.e., paper check).

### 8.2 SCOPE

- RLMS

### 8.3 LEVEL

- User Goal

### 8.4 PRIMARY ACTORS

- User – Internal and External Users of the system.

### 8.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to apply a received payment to a balance due.
- External User – Needs to provide a payment to a balance due.

### 8.6 PRE-CONDITIONS

- System must be online and available.
- User is authenticated and has accessed his/her account.

### 8.7 TRIGGERS

- User has a balance due that requires payment.

### 8.8 MAIN SUCCESS SCENARIO

**User makes a payment to a balance due.**

1. User searches for balance due.
2. System presents balance(s) due.
3. User selects balance due.
4. System presents required amount and payment options.
5. User selects payment option.
6. System solicits required payment details.



7. User enters payment details.
8. System validates payments information.
9. System credits and updates account.
10. If non-real-time payment, System routes to “Deposit Funds.”
11. Use Case ends.

## 8.9 ALTERNATE PATHS

### 2a. A balance due is not tied to the account.

In the Main Success Scenario, the account has no balance due.

- 2a1. User navigates to the search screen.
- 2a2. User enters information on payment instrument (e.g., Name, address).
- 2a3. System presents account(s).
- 2a4. User selects account.
- 2a5. The Main Success Scenario is rejoined at Step 1.

### 10a. Balance due is underpaid.

In the Main Success Scenario, the payment was not enough.

Note: The system may accept partial payment per business rules.

- 10a1. System sets an error & omission flag.
- 10a2. Use Case ends.

### 10b. Balance due is overpaid.

In the Main Success Scenario, the payment was too much.

- 10b1. System sends a refund letter requesting authorization for a refund using “Generate Correspondence.”
- 10b2. Use Case ends.

## 8.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	3,4,6
	Fiscal	22,32,34,35,36,37,38,41,43,46,48,49,54,60,61,63,67,70,72,73,74,75,77,79,80,81,82,84,87,90,91,92
	Research & Resolve	104,106



TYPE	CATEGORY	REQUIREMENTS
	Legal	181,185
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 9 REFUND RESPONSE USE CASE

### 9.1 CONTEXT OF USE CASE

This Use Case describes the process used when an External User is responding to a refund letter sent from RLMS using “Generate Correspondence.”

### 9.2 SCOPE

- RLMS

### 9.3 LEVEL

- User Goal

### 9.4 PRIMARY ACTORS

- External User of the system

### 9.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to obtain authorization to process refund.
- External User – Needs to request a refund.

### 9.6 PRE-CONDITIONS

- System must be online and available.
- External User is authenticated and has accessed his/her account.
- A refund letter has been received.

### 9.7 TRIGGERS

- External User chooses to respond to a refund letter.

### 9.8 MAIN SUCCESS SCENARIO

**External User responds to a refund letter.**

1. External User chooses to view the refund letter.
2. External User navigates to the correspondence inbox.
3. System presents a list of all correspondence.
4. External User selects the refund letter.
5. System updates the correspondence history to indicate that the refund letter has been viewed by External User.
6. System presents a detailed view of the refund letter.



7. External User reviews the refund letter.
8. External User chooses to accept the refund.
9. System validates the refund response.
10. External User confirms the refund response.
11. System saves the refund response.
12. Use Case ends.

## 9.9 ALTERNATE PATHS

### 8a. External User does not request a refund.

In the Main Success Scenario the External User selects to not request a refund.

- 8a1. External User chooses to reject the refund.
- 8a2. System forwards unclaimed balance to Unclaimed Property (DFS) using “Generate Correspondence.”
- 8a3. The Main Success Scenario is rejoined at Step 9.

### 8b. External User chooses to apply refund to another balance due.

In the Main Success Scenario the External User selects to apply funds to another obligation.

- 8b1. External User chooses to reject the refund and apply the amount to an existing obligation using “Apply Payment.”
- 8b2. The Main Success Scenario is rejoined at Step 9.

## 9.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	3,4,6,22
	Fiscal	32,34,35,36,37,38,41,43,46,47,48,49,54,56,57,58,60,61,63,67,70,74,75,77,79,80,81,82,84,87,90,91,92
	Research & Resolve	104,106
	Legal	181,185
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761



TYPE	CATEGORY	REQUIREMENTS
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*





## ATTACHMENT 10 VERIFICATION USE CASE

### 10.1 CONTEXT OF USE CASE

This Use Case describes the process of issuing or denying a license or renewal and an Internal User verifying the application or renewal filing data is accurate and meets statutory requirements.

Note: The focus of this Use Case is on the issuance or denial of a license that requires human intervention. It is anticipated some application filings will be submitted without any errors or omissions, thereby not requiring Internal User verification to determine whether to issue or deny.

### 10.2 SCOPE

- RLMS

### 10.3 LEVEL

- User Goal

### 10.4 PRIMARY ACTORS

- Internal User of the system

### 10.5 STAKEHOLDERS AND INTERESTS

- External User – Needs department approval or denial of application filing to receive or be denied a license or renewal.
- Internal User – Needs to review and verify application filings meet statutory and departmental requirements in order to issue or deny a license in a statutorily mandated timeframe in some cases.

### 10.6 PRE-CONDITIONS

- System must be online and available.
- User is authenticated.
- System must have interfaces with internal and external entities that provide data validation capabilities.
- System allows for routing to appropriate parties.

### 10.7 TRIGGERS

- System receives an application filing for verification.



## 10.8 MAIN SUCCESS SCENARIO

### System issues or denies the license.

1. System verifies the data in the application filing is accurate and meets statutory requirements (e.g., passing exam score).
2. If necessary and applicable, Internal User selects the application filing submitted for verification.
3. If necessary and applicable, Internal User confirms the data in the application filing is accurate and meets statutory requirements (e.g., verifies a photo submitted is usable).
4. System determines whether to issue or deny the application filing.
5. System updates applicant's account status.
6. System issues a license or renewal, or "Generates Correspondence" to issue a denial letter.
7. If necessary and applicable, System prints license (or generates a digital license, or creates a license facsimile) and sends via "Generate Correspondence."
8. Use Case ends.

## 10.9 ALTERNATE PATHS

### 1a. System identifies an error or omission.

In the Main Success Scenario, the system determines the application filing data is inaccurate or does not meet statutory requirements.

- 1a1. System identifies errors and/or omissions in the application data filing.
- 1a2. System flags each error and/or omission found in the application filing data.
- 1a3. The Main Success Scenario is rejoined at Step 2.

### 3a. Internal User identifies an error or omission.

In the Main Success Scenario, the Internal User determines the application filing data is inaccurate or does not meet statutory requirements.

- 3a1. Internal User identifies errors and/or omissions in the application data filing.
- 3a2. Internal User flags each error and/or omission found in the application filing data.
- 3a3. The Main Success Scenario is rejoined at Step 4.

### 4a. System cannot determine whether to issue or deny the application filing.

In the Main Success Scenario, the system needs to gather additional information in order to make an issuance or denial determination.

- 4a1. System cannot determine whether to issue or deny the application filing.
- 4a2. System routes the application to "Research and Resolve."
- 4a3. The Main Success Scenario is rejoined at Step 4.



## 10.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	1,3,4
	Verification	94,95,96,97,99,101,102
	Research & Resolve	103,104,106
	Legal	161,181,185
	Investigation/Inspection	212
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 11 RESEARCH & RESOLVE USE CASE

### 11.1 CONTEXT OF USE CASE

This Use Case describes the process of researching errors and omissions or otherwise verifying eligibility to attempt to resolve any outstanding issues associated with the issuance or renewal of a license.

### 11.2 SCOPE

- RLMS

### 11.3 LEVEL

- User Goal

### 11.4 PRIMARY ACTORS

- Internal User of the system

### 11.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to obtain information to resolve outstanding errors and omissions in the application filing data.
- External User – Needs to supply or correct information to resolve errors and omissions in the application filing data.

### 11.6 PRE-CONDITIONS

- System must be online and available.
- Internal User is authenticated.
- An application filing requiring additional information or correction is available in the “Research & Resolve” work queue.

### 11.7 TRIGGERS

- Internal User selects an application filing requiring additional information or correction before an issuance or denial determination can be made.

### 11.8 MAIN SUCCESS SCENARIO

**System determines whether to issue or deny a license.**

1. Internal User selects the application filing routed for research and resolution.



2. Internal User conducts direct research on each error and omission flagged on the application filing and determines eligibility for licensure by querying any and all resources available, including external systems (e.g., Department of State for agency-related licenses, FDLE for disposition data on 790 applications).
3. Internal User updates the application filing data according to research results and resolves each error and omission flag set in Verification.
4. System determines whether to issue or deny the license.
5. System updates the applicant’s account status.
6. The “Verification” Alternate Path is rejoined at Step 4a3.
7. Use Case ends.

## 11.9 ALTERNATE PATHS

### 3a. Internal User cannot resolve all error and/or omission flags or eligibility issues using direct research.

In the Main Success Scenario, Internal User is unable to resolve all error and omission flags in the application filing data in order to make an issuance or denial determination. Note: This alternate path may have more than one iteration.

- 3a1. System updates the application status to “suspend.”
- 3a2. If applicable and necessary, the system sends a suspension letter with Election of Rights using “Generate Correspondence.”
- 3a3. Internal User solicits additional information from the applicant via an Error & Omission (E&O) letter using “Generate Correspondence.”
- 3a4. System starts a clock for a configurable timeframe in which the applicant must respond.
- 3a5. Use Case ends.

## 11.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	1,3,4
	Verification	94,95,96,97,101
	Research & Resolve	103,104,105,106
	Legal	130,161,181,185
	Investigation/Inspection	212
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771



TYPE	CATEGORY	REQUIREMENTS
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 12 E&O RESPONSE USE CASE

### 12.1 CONTEXT OF USE CASE

This Use Case describes the process used when an External User is responding to an Error & Omission (E&O) letter requesting information sent from RLMS using “Generate Correspondence.”

Note: A denial letter may have been issued prior to the External User choosing to respond to the E&O letter if the configurable timeframe for responding has already expired.

### 12.2 SCOPE

- RLMS

### 12.3 LEVEL

- User Goal

### 12.4 PRIMARY ACTORS

- External User of the system

### 12.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to obtain information to resolve outstanding errors and omissions in the application filing data.
- External User – Needs to correct and/or supply additional information to resolve errors and omissions in the application filing data.

### 12.6 PRE-CONDITIONS

- System must be online and available.
- External User is authenticated and has accessed his/her account.
- An E&O letter has been received.

### 12.7 TRIGGERS

- External User chooses to respond to an E&O letter.

### 12.8 MAIN SUCCESS SCENARIO

**External User responds to an E&O letter.**

1. External User chooses to view the E&O letter.



2. External User navigates to the correspondence inbox.
3. System presents a list of all correspondence.
4. External User selects the E&O letter.
5. System updates the correspondence history to indicate that the E&O letter has been viewed by External User.
6. System presents a detailed view of the E&O letter.
7. External User reviews the E&O letter.
8. External User chooses to respond to the E&O letter.
9. External User inputs requested information.
10. System validates the information entered.
11. External User confirms that requested information is correct and accurate.
12. System saves requested information.
13. Use Case ends.

## 12.9 ALTERNATE PATHS

### 8a. The E&O response is past the configured timeframe.

In the Main Success Scenario, System determines the E&O letter response window exceeds the configurable timeframe for responding and does not solicit updates from External User.

- 8a1. System notifies External User the application filing is denied due to untimely response to the E&O letter.
- 8a2. Use Case ends.

### 9a. The E&O response requires additional license-specific supporting documentation.

In the Main Success Scenario, System determines the E&O letter response requires additional license-specific supporting documentation.

- 9a1. System determines what additional supporting documents, if any, are required.
- 9a2. External User submits supporting documenting using “Intake Correspondence.”
- 9a3. The Main Success scenario is rejoined at Step 10.

## 12.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	4,6
	Verification	95,96
	Research & Resolve	103
	Legal	181,186
Non-Functional*	Account Management	1-13, 774





TYPE	CATEGORY	REQUIREMENTS
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 13 COMPLAINT USE CASE

### 13.1 CONTEXT OF USE CASE

This Use Case describes the complaint management and tracking process, from origination to resolution, from both the Internal and External User perspective.

### 13.2 SCOPE

- RLMS

### 13.3 LEVEL

- User Goal

### 13.4 PRIMARY ACTORS

- User – Internal and External Users of the system

### 13.5 STAKEHOLDERS AND INTERESTS

- External User – Needs to submit a complaint.
- Internal User – Needs to log, track and route the complaint in order to progress toward a resolution.

### 13.6 PRE-CONDITIONS

- System must be online and available.

### 13.7 TRIGGERS

- External User chooses to log a complaint on the system.

### 13.8 MAIN SUCCESS SCENARIO

**External User logs a complaint and is notified of resolution actions.**

In the Main Success Scenario, an Internal User routes a complaint submitted by an External User to the appropriate division for resolution.

1. System displays complaint form.
2. External User enters complaint information.
3. System solicits contact information.
4. External User enters contact information.
5. System saves complaint and contact information, and generates a case number.
6. System routes complaint to triage queue.



7. Internal User reviews complaint and routes to appropriate division’s work queue.
8. Internal User reviews work item in divisional complaint queue.
9. Internal User updates system with complaint resolution activity.
10. System sends the complaint resolution activity using “Generate Correspondence,” and closes the case.
11. Use Case ends.

### 13.9 ALTERNATE PATHS

#### 7a. Complaint is outside of department’s statutory authority to regulate.

In the Main Success Scenario, a complaint received is outside the department’s lawful area of responsibility, and forwarded by an Internal User to the appropriate agency.

- 7a1. Internal User forwards complaint to external agency.
- 7a2. Internal User routes complaint to additional identified division/office work queue(s) as appropriate.
- 7a3. The Main Success Scenario is rejoined at Step 8.

#### 8a. Complaint routing is invalid.

In the Main Success Scenario, a complaint is assigned to an invalid division.

- 8a1. Internal User routes complaint back to triage queue.
- 8a2. The Main Success Scenario is rejoined at Step 7.

#### 8b. Duplicate complaints entered.

In the Main Success Scenario, duplicate complaints (e.g., Station X has bad gas) are linked by an Internal User.

- 8b1. Internal User appends or links complaint to main/original complaint.
- 8b2. The Main Success Scenario is rejoined at Step 9.

### 13.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	6,7
	Research & Resolve	103,104,106
	Legal	109,110, 130,146,181
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773



TYPE	CATEGORY	REQUIREMENTS
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	CRM & IVR	271-327, 760, 769
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 14 PUBLIC RECORDS REQUEST USE CASE

### 14.1 CONTEXT OF USE CASE

This Use Case describes the public records request management and tracking process, from origination to resolution, from both the Internal and External User perspective. Most records held by the department are public records unless specifically exempted by statute. Public records held by the department are available upon request per Chapter 119, Florida Statutes.

### 14.2 SCOPE

- RLMS

### 14.3 LEVEL

- User Goal

### 14.4 PRIMARY ACTORS

- User – Internal and External Users of the system.

### 14.5 STAKEHOLDERS AND INTERESTS

- External User – Needs to submit request for a public record.
- Internal User – Needs to log, track and route the public records request throughout the process to address the request.

### 14.6 PRE-CONDITIONS

- System must be online and available.

### 14.7 TRIGGERS

- External User chooses to request a public record online.

### 14.8 MAIN SUCCESS SCENARIO

**External User requests a public record and is notified of resolution actions.**

In the Main Success Scenario, an Internal User routes a public records request submitted by an External User to the appropriate division for resolution.

1. System displays public records request form.
2. External User enters public records request information.
3. System solicits contact information.
4. External User enters contact information.



5. System saves public records request and contact information, and generates a case.
6. System routes public records request to triage queue.
7. Internal User reviews public record request and routes to appropriate division's work queue.
8. Internal User reviews work item in divisional public records request queue and determines volume and complexity.
9. Internal User fulfills request and updates system with public records request resolution activity.
10. System sends the public records request response to the External User using "Generate Correspondence," and closes the case.
11. Use Case ends.

## 14.9 ALTERNATE PATHS

### **7a. Public records request pertains to records over which the department does not have custodianship.**

In the Main Success Scenario, a public records request is outside the department's lawful area of responsibility to collect and maintain such records and is forwarded by an Internal User to the appropriate agency.

- 7a4. Internal User forwards public records request to external agency.
- 7a5. Internal User updates system with public records request resolution information.
- 7a6. Use Case ends.

### **8a. Public records request routing is incorrect.**

In the Main Success Scenario, a public records request is assigned to the wrong division.

- 8a1. Internal User routes public records request back to triage queue.
- 8a2. The Main Success Scenario is rejoined at Step 6.

### **8b. Public records request is voluminous or complex in nature.**

- 8b1. Internal User estimates anticipated charges and provides requester with estimate.
- 8b2. If requester agrees to pay charges, Internal User collects/compiles information and performs/validates redaction.
- 8b3. The Main Success Scenario is rejoined at Step 9.
- 8b4. If requester declines to pay charges, Internal User updates system with public records request resolution activity.
- 8b5. Use Case ends.



## 14.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Legal	130
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	CRM & IVR	271-327, 760, 769
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
Usability	657-672, 775	
Workflow	673-750, 762, 776	

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 15 INVESTIGATION USE CASE

### 15.1 CONTEXT OF USE CASE

This Use Case describes the process used by an Internal User to conduct a regulatory investigation and to record findings and recommendations. There is a great deal of variability and complexity in how investigations are initiated (e.g., internal or external complaint, as a result of findings from an inspection, ad hoc) and handled in programs throughout the department. As a result of an investigation, additional actions may be taken and/or recommended by an Internal User (administrative action, criminal investigation, etc.).

Note: Criminal investigation activities and information are not currently envisioned to be part of RLMS.

### 15.2 SCOPE

- RLMS
- Geographic Information Systems (GIS)

### 15.3 LEVEL

- User Goal

### 15.4 PRIMARY ACTORS

- Internal User of the system

### 15.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to protect the integrity and safety of the program by conducting investigations of department regulated activities and External Users.
- External User – Interested in the outcome of an investigation (which may or may not be directly disclosed by the department).
- General public – Has a vested interest in public welfare.

### 15.6 PRE-CONDITIONS

- Internal User is authenticated.
- An account may exist in the system for licensed business entities or individuals. However, because the department may investigate a non-licensed activity, entity, or individual, no account may exist in the system for the subject(s) of a particular investigation. In those cases where an account does not exist, the system will provide a means of recording and tracking the investigatory process.
- System has scheduled location-based investigations using GIS.





- Investigative information, checklists, and related documents (administrative action templates, compliance letter templates, etc.) are available on mobile devices even when offline.

## 15.7 TRIGGERS

- Internal User has been presented with a list of investigations (e.g., from the Complaint Use Case) to be conducted based on variable circumstances as detailed in the Context of the Use Case.
- Internal User chooses to initiate a regulatory investigation.

## 15.8 MAIN SUCCESS SCENARIO

### **Internal User conducts and documents the results of a regulatory investigation.**

1. Internal User navigates to the entity's or individual's account.
2. Internal User conducts the investigation and enters findings and recommendations (e.g., scans exhibits and/or evidence into system. Investigation and data entry may be performed using paper forms, mobile devices, GIS and/or desktop workstations as dictated by program needs).
3. System validates investigation data.
4. Internal User confirms the investigation data.
5. Internal User indicates no further action is required.
6. System saves the investigation data and notifies relevant parties, as appropriate, using "Generate Correspondence."
7. Use Case ends.

## 15.9 ALTERNATE PATHS

### **5a. Internal User recommends an administrative action.**

In the Main Success Scenario, the Internal User chooses to initiate an administrative action.

- 5a1. Internal User initiates an administrative action.
- 5a2. Internal User enters recommendation for administrative action.
- 5a3. System validates the recommendation for administrative action.
- 5a4. Internal User confirms the recommendation for administrative action.
- 5a5. System saves the recommendation for administrative action and routes to "Administrative Action."
- 5a6. The Main Success Scenario is rejoined at Step 6.

### **5b. Internal User recommends a criminal investigation.**

In the Main Success Scenario, the Internal User determines that a criminal investigation may be appropriate.



- 5b1. System routes the work item for criminal investigation.
- 5b2. The Main Success Scenario is rejoined at Step 6.

**6a. An internet connection is not available.**

In the Main Success Scenario, the Internal User is in an area where there is no internet connection. The investigation information is saved locally on a mobile device, then synchronized and saved to the system once the device reconnects to the internet.

- 6e1. System saves the investigation data locally on the mobile device.
- 6e2. System synchronizes investigation data from mobile device once it is reconnected to the internet.
- 6e3. System notifies relevant parties using “Generate Correspondence.”
- 6e4. Use Case ends.

**15.10 REQUIREMENTS**

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	3,4,7
	Research & Resolve	103,104,106
	Legal	109,110,130,161,181,182,185
	Investigation/Inspection	197,198,199,200,201,202,204,205,206,207,209,210,211,212,213,214,216,217
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
Usability	657-672, 775	



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TYPE	CATEGORY	REQUIREMENTS
	Workflow	673-750, 762, 776

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*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 16 ADMINISTRATIVE ACTION USE CASE

### 16.1 CONTEXT OF USE CASE

This Use Case describes the processing of an administrative action. There is a great deal of variability and complexity in how administrative actions are handled in programs throughout the department. For the purposes of this use case, the term “administrative action” means any agency action that affects substantial interests of an individual or business that subsequently results in an Election of Rights for a hearing or an appeal.

Examples of how an administrative action may be generated include all following: Internal User determination of applicant ineligibility; investigations of licensed or unlicensed individuals or businesses; system determinations of licensed ineligibility based on specific business rules; Internal User review of miscellaneous documents received via complaints, notifications from law enforcement agencies, etc.

Note: The focus of this Use Case is on the processing of an administrative action that requires User intervention. It is anticipated some administrative actions not requiring additional review or approval can be processed by the system without human intervention.

### 16.2 SCOPE

- RLMS

### 16.3 LEVEL

- User Goal

### 16.4 PRIMARY ACTORS

- Internal User of the system

### 16.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to enforce Florida statutes concerning department-regulated activities, entities, etc.

### 16.6 PRE-CONDITIONS

- System must be online and available.
- Internal User is authenticated.
- Internal User is authorized to process administrative actions.



## 16.7 TRIGGERS

- An administrative action is generated by the Internal User and/or system in accordance with business rules.

## 16.8 MAIN SUCCESS SCENARIO

### Internal User approves an administrative action.

1. System notifies Internal User that an administrative action requiring approval is available in the work queue.
2. Internal User selects the administrative action for review.
3. System displays the administrative action for review.
4. Internal User reviews and approves the administrative action.
5. System validates the administrative action per business rules.
6. Internal User confirms the administrative action.
7. System saves the administrative action, updates the individual or entity's account status, and distributes the administrative action using "Generate Correspondence."
8. System closes the administrative action based on business rules.
9. Use Case ends.

## 16.9 ALTERNATE PATHS

### 4a. Internal User determines legal review is required.

In the Main Success Scenario, the administrative action is reviewed and Internal User determines additional legal review is required.

- 4a1. Internal User reviews the administrative action and determines legal review is required.
- 4a2. System creates a work item for "Legal Review" and notifies originator.
- 4a3. The Use Case ends.

### 4b. Internal User determines an investigative review is required.

In the Main Success Scenario, the administrative action is reviewed and Internal User determines an investigative review is required.

- 4b1. Internal User reviews the administrative action and determines an investigative review is required.
- 4b2. System creates a work item for "Investigation" and notifies originator.
- 4b3. The Use Case ends.

### 4c. Internal User determines a modification to the administrative action is required.

In the Main Success Scenario, the administrative action is modified by Internal User.



- 4c1. Internal User reviews and modifies the administrative action.
- 4c2. The Main Success Scenario is rejoined at Step 5.

**4d. Internal User rejects the administrative action.**

In the Main Success Scenario, the administrative action is rejected and returned to the originator of the administrative action.

- 4d1. Internal User reviews and rejects the administrative action.
- 4d2. System returns the work item to the originator.
- 4d3. The Use Case ends.

**4e. Internal User cancels the administrative action.**

- 4e1. Internal User reviews and cancels the administrative action.
- 4e2. System validates the cancellation of the administrative action.
- 4e3. Internal User confirms the cancellation of the administrative action.
- 4e4. System saves the cancellation, updates the individual or entity’s account status, and notifies originator.
- 4e5. Use Case ends.

**16.10 REQUIREMENTS**

TYPE	CATEGORY	REQUIREMENTS
Functional	Fiscal	37,38,41,46,61
	Research & Resolve	103,104,106
	Legal	109,110,129,130,161,181,185,186
	Investigation/Inspection	206,217
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557



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TYPE	CATEGORY	REQUIREMENTS
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 17 LEGAL INTAKE USE CASE

### 17.1 CONTEXT OF USE CASE

This Use Case describes the legal intake and triage processes within Compliance and Enforcement.

Upon receipt, the legal team attempts to determine the nature of items received in legal intake and to whom it should be routed for further action, if necessary. Some items received may include:

- Election of Rights (EOR) – requests for formal/informal hearings.
- Bad Checks (insufficient funds, “NSF”) where applicable.
- “Match” Reports – reports generated from data received from the Florida Department of Law Enforcement, the Florida Department of Corrections (DOC), and the Florida Department of Highway Safety and Motor Vehicles (DHSMV) which include potentially disqualifying events associated with license holders, applicants, or individuals who may be license holders.
- Complaints which may require legal review/action.
- Recommendations for review of information gleaned through an inspection or investigatory process.
- Employee Action Reports which may include dismissal for cause requiring legal review/action.

Each item is reviewed to determine what it is, whether there is enough information to determine where it needs to be routed, or whether triage staff need to conduct additional research before sending it along to attorneys and non-attorney staff for review.

Note: The allocation/distribution of cases is dependent upon the business rules determined by the department. The system may distribute cases based on workload, case type, or other criteria adopted and enforced by department management.

### 17.2 SCOPE

- RLMS

### 17.3 LEVEL

- User Goal

### 17.4 PRIMARY ACTORS

- Internal User of the system





## 17.5 STAKEHOLDERS AND INTERESTS

- Internal Users – Need to review and resolve activities and information related to applicants and license/permit holders as well as other entities which may fall under the purview of the department (e.g., referrals from investigators/inspectors, complaints).
- External Users – Need to participate in issue resolution for various filings (e.g., complaints, applications, Election of Rights); be informed of department actions related to their licenses/permit (e.g., revocation, suspension); and/or file and be informed of department actions taken as a result of Employee Action Report filings.

## 17.6 PRE-CONDITIONS

- Internal User is authenticated.
- A work item has been routed to the Legal Intake queue for review/action.

## 17.7 TRIGGERS

- Internal User selects a work item from the Legal Intake queue.

## 17.8 MAIN SUCCESS SCENARIO

**Internal User selects a work item and determines no legal action is required.**

1. Internal User selects a work item.
2. System displays work item.
3. Internal User reviews work item and determines no further information is required, the work item is not a request for a hearing, and that no further action is necessary.
4. System closes work item and notifies interested parties using “Generate Correspondence” as required by business rules.
5. Use Case ends.

## 17.9 ALTERNATE PATHS

### 3a. Additional research is required.

In the Main Success Scenario, Internal User determines the work item has missing or incomplete information and needs to conduct additional research using systems and repositories at the Internal User’s disposal either from within RLMS or by accessing external systems.

3a1. Internal User conducts direct research as needed by querying any and all resources available, including external systems (e.g., Department of State for agency-related licenses, FDLE for disposition data on 790 applications).

3a2. Internal User updates work item.



- 3a3. System validates input.
- 3a4. Internal User determines no further information is required.
- 3a5. The Main Success Scenario is rejoined at Step 4.

### **3a4a. Additional information is required.**

Internal User has accessed all systems and information resources and needs to gather additional information from an applicant or from external entities.

- 3a4a1. Internal User solicits additional information using “Generate Correspondence.”
- 3a4a2. Requested information is received using “Intake Correspondence.”
- 3a4a3. The Main Success Scenario is rejoined at Step 1.

### **3b. Election of Rights form is received.**

In the Main Success Scenario, Internal User determines the work item is an Election of Rights form (request for a formal or informal hearing).

- 3b1. Internal User reviews EOR and determines no correspondence is included with the form.
- 3b2. System invokes “Legal Review.”
- 3b3. Use Case ends.

### **3b1a. EOR is associated with an administrative action, application filing, denial or suspension, and includes additional correspondence.**

An EOR is received with additional correspondence which is related to a previously denied or suspended application filing. The EOR is routed to the license issuance authority to determine if the denial may be overturned or the suspension lifted, negating the need for a hearing.

- 3b1a1. Internal User reviews EOR filing and determines it should be sent to the License Issuance Authority for further action.
- 3b1a2. System routes work item.
- 3b1a3. Use Case ends.

### **3c. Match Report is received/reviewed.**

In the Main Success Scenario, the work item indicates a potentially disqualifying event has been discovered in a Match Report, and a license or an application may need to be denied, suspended or revoked.

- 3c1. Internal User reviews match report results and determines if the match report results are tied to the correct licensee or applicant using available resources (e.g., the Court system, FDLE).



3c2. If match is made and Internal User determines information is disqualifying, Internal User flags license or application for denial, suspension or revocation pending additional review.

3c3. System updates record and routes to “Legal Review” for further review.

3c4. Use Case ends.

### **3d. Legal referral is received.**

In the Main Success Scenario, Internal User determines the work item is a referral resulting from an investigation or inspection.

3d1. Internal User reviews referral.

3d2. Internal User creates a Legal Case.

3d3. System validates Legal Case input and invokes “Legal Review.”

3d4. Use Case ends.

### **3e. Employee Action Report is received.**

In the Main Success Scenario, Internal User determines the work item is an Employee Action Report from an employer which may require the suspension or revocation of a license.

3e1. Internal User reviews EAR.

3e2. Internal User creates a Legal Case.

3e3. System validates Legal Case input and invokes “Legal Review.”

3e4. Use Case ends.

### **3f. Complaint referral is received.**

In the Main Success Scenario, Internal User determines the work item is referral resulting from a complaint.

3f1. Internal User reviews referral.

3f2. Internal User creates a Legal Case.

3f3. System validates Legal Case input and invokes “Legal Review.”

3f4. Use Case ends.

### **3g. No barriers exist to prevent the issuance of a license.**

In the Main Success Scenario, Internal User determines no legal issues exist to prevent the issuance of a license.

3g1. Internal User reviews referral.

3g2. Internal User clears all legal flags.

3g3. System validates updates.

3g4. System routes work item to “Verification.”



3g5. Use Case ends.

## 17.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	4,7
	Research & Resolve	103,104,105,106
	Legal	108,110,112,113,114,115,116,117,120,122,123,124,126,127,128,130,131,132,134,135,136,137,138,139,142,143,144,146,147,148,153,154,156,159,160,161,168,170,171,172,174,175,176,177,178,179,180,181,182,183,185
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	CRM & IVR	271-327, 760, 769
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
Usability	657-672, 775	
Workflow	673-750, 762, 776	

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 18 LEGAL REVIEW USE CASE

### 18.1 CONTEXT OF USE CASE

This Use Case describes the legal case review process. During triage activities, an Internal User has determined that a work item requires legal review/action by staff in the Compliance/Enforcement section and creates a case package for assignment/distribution to legal staff.

Each case is reviewed and a recommended legal action is created and disseminated for implementation.

Once all activities are complete, relevant parties are notified of the case results and, dependent upon the outcome, may be afforded additional avenues for resolution of their case/issue (i.e., Election of Rights form).

### 18.2 SCOPE

- RLMS

### 18.3 LEVEL

- User Goal

### 18.4 PRIMARY ACTORS

- Internal User of the system

### 18.5 STAKEHOLDERS AND INTERESTS

- Internal Users – Need to review and resolve activities and information related to applicants and license holders as well as other entities which may fall under the purview of the department.
- External Users – Need to be informed of department actions/decisions for various filings (e.g., complaints, applications, EOR); department actions/decisions related to their licenses (e.g., revocation, suspension); and/or department actions/decisions taken as a result of Employee Action Report filings.

### 18.6 PRE-CONDITIONS

- Internal User is authenticated.
- A work item has been routed per business rules for review/action.

Note: During system implementation, the department may opt for an automated dissemination scheme by which cases may be routed to various legal staff depending upon case load, case



type, complexity, etc. Business rules required to control load balancing and dissemination will be developed in concert with the implementation vendor during design.

## 18.7 TRIGGERS

- Internal User selects case work item from queue.

## 18.8 MAIN SUCCESS SCENARIO

**Internal User assigns the case to legal staff for review and recommended action.**

1. System displays work item.
2. Internal User reviews work item and routes to legal staff (assigns the case) for legal review/adjudication.
3. System creates work item for assigned legal staff.
4. Internal User selects work item.
5. Internal User creates recommended legal action.
6. System saves recommended legal action.
7. System routes work item to legal staff for implementation of recommended legal action.
8. Internal User selects work item from queue.
9. System displays work item.
10. Internal User implements/executes recommended legal action.
11. System updates entity's status as appropriate.
12. Internal User chooses to close legal case.
13. System closes legal case.
14. System notifies interested parties of case closure using "Generate Correspondence."
15. Use Case ends.

## 18.9 ALTERNATE PATHS

### 2a. No attorney/consultant action is required.

In the Main Success Scenario, the Internal User determines that no legal review is required, decides not to assign the case to an attorney/consultant, and closes the case.

- 2a1. Internal User creates recommended action.
- 2a2. System saves recommended action.
- 2a3. Main Success Scenario is rejoined at Step 10

### 10a. Recommended action requires Election of Rights form attachment.

In the Main Success Scenario, the outcome of the legal review results in recommended legal action that includes additional legal rights (i.e., EOR) to which a party may avail themselves.



The relevant parties are notified and an appeal timer is initiated to assess the validity of additional filings.

10a1. System flags recommended legal action to include Election of Rights form.

10a2. System starts an appeal timer.

10a3. The Main Success Scenario is rejoined at Step 11.

## 18.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	1,3,4
	Verification	101
	Research & Resolve	103,104,105,106
	Legal	108,109,110,112,113,114,115,116,117,120,122,123,124,125,126,127,128,129,130,131,135,136,137,138,144,146,147,148,149,150,151,152,153,154,155,156,158,159,160,161,163,164,165,168,170,171,172,174,175,176,177,178,179,180,181,182,183,184,185,186,187,188,189,190,191,192,193
	Investigation/Inspection	212
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	CRM & IVR	271-327, 760, 769
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
Search and Navigation	523-557	



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TYPE	CATEGORY	REQUIREMENTS
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*





## ATTACHMENT 19 HEARING USE CASE

### 19.1 CONTEXT OF USE CASE

This use case describes the process of an Internal User conducting a hearing as part of an Election of Rights (EOR) filing, and subsequently creating a final order. Hearing requests are first reviewed to determine if they are timely and/or if they establish there are material facts in dispute before assigning a hearing officer and/or scheduling a hearing.

### 19.2 SCOPE

- RLMS

### 19.3 LEVEL

- User Goal

### 19.4 PRIMARY ACTORS

- Internal User of the system.

### 19.5 STAKEHOLDERS AND INTERESTS

- External User – Needs resolution of EOR.
- Internal User – Needs to conduct hearings.

### 19.6 PRE-CONDITIONS

- Internal User is authenticated.
- Information for External User(s) involved in the hearing is stored in the system.
- A hearing has been scheduled.

### 19.7 TRIGGERS

- Internal User begins a hearing.

### 19.8 MAIN SUCCESS SCENARIO

**Internal User conducts a hearing and creates a final order.**

Note: All final orders must also be electronically transmitted to the Department of Administrative Hearings.

1. Internal User selects hearing from schedule.
2. System displays hearing information.



3. Internal User reviews hearing information and initiates hearing.
4. Internal User records appropriate hearing information and creates a final order.
5. System validates final order.
6. Internal User confirms final order.
7. System saves final order and notifies relevant parties, as appropriate, using "Generate Correspondence."
8. Use Case ends.

## 19.9 ALTERNATE PATHS

### 3a. Internal User recuses and returns the case to the hearing scheduling queue.

In the Main Success Scenario, the Internal User recuses from the case (the hearing will be reassigned and rescheduled).

- 3a1. System routes the work item to the appropriate work queue.
- 3a2. Use Case ends.

### 3b. External User(s) fails to appear for scheduled hearing.

In the Main Success Scenario, External User(s) fails to appear for the scheduled hearing. The Internal User waits for a period of time in accordance with department policy.

- 3b1. After waiting in accordance with policy, Internal User conducts the hearing.
- 3b2. The Main Success Scenario is rejoined at Step 4.

## 19.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Research & Resolve	103,105,106
	Legal	108,109,110,113,114,115,116,117,120,122,123,124,125,126,127,128,129,130,131,132,133,135,136,137,138,139,142,143,144,146,147,148,149,150,151,152,153,154,155,156,158,159,160,161,163,164,165,168,170,171,172,174,175,176,177,178,179,180,181,182,183,184,185,186,187,188,189,190,191,192,193
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761



TYPE	CATEGORY	REQUIREMENTS
	CRM & IVR	271-327, 760, 769
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Public Records	414-436
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Self-Service Portal	618-656
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 20 INSPECTION USE CASE

### 20.1 CONTEXT OF USE CASE

This Use Case describes the inspection of department regulated activities.

Inspections may occur proactively per risk-based decisions, scheduled per cyclical criteria or ad hoc as time or circumstances permit. Coordination of inspection activities between various inspection tasks (across business areas) is expected for a single business entity, or scheduling a single inspection type for multiple business entities is expected through system defined business rules. Some inspections will occur reactively per a request (e.g., by an applicant or by a complainant), or in response to an incident.

The need to conduct Inspections is a critical function for FDACS. This Use Case speaks to the execution of the inspection. The narrative that follows speaks to the complexity and factors that can be involved in determining if, when, and where an inspection needs to be conducted. Additionally, inspections may be of entities directly regulated by FDACS, and of entities or sites not licensed by FDACS. This narrative indicates some of the factors that can be involved in determining the need to inspect. Essentially, the need to inspect becomes a “case” relative to the individual sites selected to be inspected.

Examples of factors driving the need to inspect can include:

- Submission of an application where an inspection is a requirement before issuance of the license.
- A schedule for recurring inspections based on license type, inspection site type (i.e., traps), entity type, types of materials held, used or sold by the entity, and risk factors regarding those materials.
- Random selection of entities within a license type, geographical area, political area (i.e., within a county).
- Prior inspection findings.
- Prior administrative actions.
- Geo-spatial proximity to other objects (e.g., GPS coordinates, entity location, properties) where proximity is defined by the FDACS business area.
- Specific complaint.
- Entity request.
- Industry request.
- Other governmental agency/program request (to FDACS).

Frequently, factors are combined to determine if, when, and where Inspections need to occur.

Additional factors must be definable by business areas as needed.



## 20.2 SCOPE

- RLMS
- Geographic Information System (GIS)

## 20.3 LEVEL

- User Goal

## 20.4 PRIMARY ACTORS

- Internal User of the system

## 20.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to protect the integrity and safety of the program by inspecting department regulated activities.
- External User – Needs to pass inspections to continue operating or to complete the application process.

## 20.6 PRE-CONDITIONS

- Internal User is authenticated.
- Internal User has access to a mobile device (e.g., laptop, tablet) with RLMS access.
- An account may exist in the system for licensed business entities or individuals. However, because the department may inspect a non-licensed activity, entity or individual, an account may not exist in the system for the subject(s) of a particular inspection. In those cases where an account does not exist, the system will provide a means of recording and tracking the inspection process.
- System has prioritized risk-based inspections per risk factors set by the department.
- System has scheduled location-based inspections using GIS.
- Inspection information, checklists, and inspection-related documents (administrative action templates, compliance letter templates, etc.) are available on mobile devices even when offline.

## 20.7 TRIGGERS

- Internal User has been presented with a list of inspections to be conducted based on variable circumstances as detailed in use case context (pre-scheduled, risk-based, etc.).
- Internal User chooses to initiate an inspection.



## 20.8 MAIN SUCCESS SCENARIO

### Internal User conducts and documents the results of an inspection.

1. Internal User navigates to the entity's record within RLMS.
2. Internal User conducts the inspection and enters findings and recommendations (Inspection and data entry may be performed using paper forms, mobile devices, GIS and/or desktop workstations as dictated by program needs).
3. System validates inspection data.
4. Internal User confirms the inspection data.
5. External User signs/acknowledges inspection report via electronic or paper signature per business rules and program requirements.
6. System saves the inspection data and notifies relevant parties using "Generate Correspondence" per business rules.
7. System posts inspection results to website per business rules and program requirements.
8. Use Case ends.

## 20.9 ALTERNATE PATHS

### 2a. Internal User recommends or initiates an administrative action.

In the Main Success Scenario, the Internal User conducts the inspection and enters findings and recommendations, and in addition chooses to initiate an administrative action.

- 2a1. Internal User initiates an administrative action.
- 2a2. Internal User enters recommendation for administrative action.
- 2a3. System validates the recommendation for administrative action.
- 2a4. Internal User confirms the recommendation for administrative action.
- 2a5. System saves the recommendation for administrative action, updates the entity's record and routes to "Administrative Action."
- 2a6. The Main Success Scenario is rejoined at Step 3.

### 6a. Internal User requests an investigation.

In the Main Success Scenario, the Internal User requests an investigation.

- 6a1. System saves the inspection data and routes to "Investigation."
- 6a2. Use Case ends.

### 6b. Internal User requests legal review.

In the Main Success Scenario, the Internal User requests legal review.

- 6b1. System saves the inspection data and routes to "Legal Review."



6b2. Use Case ends.

**6c. Internal User recommends issuance/denial of a license.**

In the Main Success Scenario, the inspection is associated with a license application. The Internal User routes the inspection findings and recommendations for further license issuance/denial determination.

- 6c1. System saves the inspection data and routes to “Verification.”
- 6c2. Use Case ends.

**6d. Internal User determines license eligibility in the field.**

In the Main Success Scenario, the inspection is associated with a license application. The Internal User issues or denies a license in the field (e.g., fair ride permit).

- 6d1. System saves the inspection data.
- 6d2. Internal User determines license eligibility.
- 6d3. System updates applicant’s account status.
- 6d4. Internal User issues or denies a license, and notifies relevant parties using “Generate Correspondence.”
- 6d5. Use Case ends.

**6e. An internet connection is not available.**

In the Main Success Scenario, the Internal User is in an area where there is no internet connection. The inspection information is saved locally on a mobile device, then synchronized and saved to the system once the device reconnects to the internet.

- 6e1. System saves the inspection data locally on the mobile device.
- 6e2. System synchronizes inspection data from mobile device once it is reconnected to the internet.
- 6e3. System notifies relevant parties using “Generate Correspondence.”
- 6e4. Use Case ends.

**20.10 REQUIREMENTS**

TYPE	CATEGORY	REQUIREMENTS
Functional	Intake	3,4,7
	Research & Resolve	103,104,106
	Legal	109,110,130,161,181,182,183,185
	Investigation/Inspection	197,198,199,200,201,202,204,205,206,207,209,210,211,212,213,214,216,217



TYPE	CATEGORY	REQUIREMENTS
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Integrated Imaging	373-390, 772
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*





## ATTACHMENT 21 CONFIGURE NEW OR MODIFY EXISTING BUSINESS RULES AND WORKFLOWS USE CASE

### 21.1 CONTEXT OF USE CASE

This Use Case describes the process by which an authorized Internal User will configure and implement the creation of new business rules and workflows, or configure and implement changes to existing business rules and workflows.

The RLMS should provide a module allowing the rapid configuration and implementation of completely new business rules and workflows as needed (e.g., changes to federal/state laws, changes in department policies/procedures, or other event driven needs).

Note: The intent of this use case is the functionality. There may be more than one way to accomplish this functionality that does not require a single module.

### 21.2 SCOPE

- RLMS

### 21.3 LEVEL

- User Goal

### 21.4 PRIMARY ACTORS

- Internal User of the system.

### 21.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to define or redefine business rules and/or workflows.
- External User – As appropriate per business rules.

### 21.6 PRE-CONDITIONS

- The system must be online and available.
- Internal User is authenticated.
- New/revised business rules and workflows are identified.
- Proposed changes to business rules have been verified and approved by all parties via an external change management process.

### 21.7 TRIGGERS

- Internal User initiates the revision or creation of a business rule or workflow.



## 21.8 MAIN SUCCESS SCENARIO

**Internal User determines the new or modified business process (rules and workflows) necessary to adapt to changing conditions.**

1. Internal User accesses the RLMS business administration module.
2. Internal User configures business rules.
3. Internal User configures workflows required by business rules.
4. The system stores an audit record of the change/changes (i.e., Create/Modify user and Date/Time).
5. System validates the business process.
6. Internal User initiates implementation of the business process
7. Internal User confirms implementation of the business process.
8. Use Case ends.

## 21.9 ALTERNATE PATHS

**5a. The new/modified business process is determined to be a duplicate of an existing business process.**

- 5a1. System indicates the new/modified business process is a duplicate of an existing business process.
- 5a2. Internal User revises the new/modified business process.
- 5a3. The Main Success Scenario is rejoined at Step 5.

**5a2a. User decided to not retain the new/modified business procedure.**

- 5a2a1. Internal User deletes the new/modified business process.
- 5a2a2. Use Case ends.

## 21.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Legal	185
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Database Architecture	328-335, 766-767
	Record Management and Audit	437-457
	Search and Navigation	523-557



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TYPE	CATEGORY	REQUIREMENTS
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## **ATTACHMENT 22 ASSESS AND COORDINATE REGULATORY TASKS USE CASE**

### **22.1 CONTEXT OF USE CASE**

This Use Case describes the department's process for assessing and coordinating regulatory tasks (i.e., investigations, inspections) within and between business areas.

Assessment can be based on the identification and location of a single entity requiring two or more regulatory tasks, or the number, type and location of multiple entities requiring the same regulatory task. Coordination can include the identification, assignment, and scheduling of department personnel from two or more business areas to a single entity, or within a single business area to multiple entities. Under either condition, coordination would be determined by the priority of each regulatory task to the availability and geography of appropriate personnel in relation to each entity.

Assessment and coordination is further informed by the tracking and reporting of regulatory task completion or accomplishment.

### **22.2 SCOPE**

- RLMS
- Geographic Information System (GIS)

### **22.3 LEVEL**

- User Goal

### **22.4 PRIMARY ACTORS**

- Internal User of the system.

### **22.5 STAKEHOLDERS AND INTERESTS**

- Internal User – Needs to assess, coordinate and perform regulatory tasks.
- External Users – Regulated entities.

### **22.6 PRE-CONDITIONS**

- The system must be online and available.
- Internal User is authenticated.
- System has prioritized regulatory tasks per risk factors set by the department.
- System tracks all pending regulatory tasks related to an entity and flags as requiring coordinated scheduling.



- Internal User has been presented with a list of regulatory tasks to be performed (e.g., a single entity requiring two or more regulatory tasks).

## 22.7 TRIGGERS

- Internal User initiates the coordination of regulatory tasks.

## 22.8 MAIN SUCCESS SCENARIO

**Appropriate personnel are scheduled or rescheduled and assigned to perform multiple regulatory tasks for a single entity.**

- Internal Users review a single entity requiring multiple regulatory tasks.
- System presents a list of responsible business areas and regulatory tasks to be performed.
- System presents a list of available inspectors with skills appropriate to the task for each business area.
- Internal User of a business area assigns appropriate personnel available to perform the regulatory task for that business area.
- System defines a preliminary scheduling window per business rules.
- Internal User reviews scheduling window and adjusts personnel as needed.
- System schedules regulatory tasks based on prioritization and location using GIS.
- Internal User confirms task assignments.
- Use Case ends.

## 22.9 ALTERNATE PATHS

**1a. Appropriate personnel are scheduled or rescheduled and assigned to perform a single regulatory task across multiple entities.**

- Internal User reviews multiple entities requiring a single regulatory task.
- System presents a list of available inspectors with skills appropriate to the task, regardless of business area, prescribed geography or work hours.
- Internal User investigates risk of delaying regulatory task and communicates with entity(ies) as appropriate using “Generate Correspondence.”
- Internal User assigns appropriate personnel available to perform the regulatory task.
- System schedules regulatory tasks based on prioritization and location using GIS.
- Internal User confirms task assignments.
- Use Case ends.

## 22.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Functional	Legal	182,183
	Investigation/Inspection	204,205,207,212,213,214, 282, 283



TYPE	CATEGORY	REQUIREMENTS
Non-Functional*	Account Management	1-13, 774
	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Events and Scheduling	361-372, 754-756, 765
	Interfaces and Interoperability	391-413, 751, 758, 763-764, 770
	Record Management and Audit	437-457
	Reporting and Dashboard	458-522
	Search and Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775
	Workflow	673-750, 762, 776

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



## ATTACHMENT 23 SYSTEM ADMINISTRATION AND CONFIGURATION USE CASE

### 23.1 CONTEXT OF USE CASE

This Use Case describes the process a system administrator or authorized business level administrator uses to make adjustments to system objects, field level activities and functions. System Administrator configuration activities will occur during the lifecycle of a system to add, update and/or decommission reference values and data fields (e.g., thresholds, fee values, license types) of a potential system. This Use Case serves to demonstrate examples of the functions and activities that an authorized administrator level may perform. Configurations are not expected to be made by a contractor or through custom coding, but by FDACS designated staff via functionality provided by the system, as the need occurs.

Note: The intent of this Use Case is the functionality. There may be alternative solutions to this functionality.

### 23.2 SCOPE

- RLMS

### 23.3 LEVEL

- User Goal

### 23.4 PRIMARY ACTORS

- Internal User of the system

### 23.5 STAKEHOLDERS AND INTERESTS

- Internal User – Needs to adjust reference data fields and reference values of an operational system.
- External User – External user is potentially affected by updated or new values of reference fields.

### 23.6 PRE-CONDITIONS

- Internal User is authenticated.
- Internal User has appropriate administrator level rights.
- System allows configuration (adding, updating, decommissioning) of reference fields and/or values.



## 23.7 TRIGGERS

- Internal User has been requested to make changes within the system.

## 23.8 MAIN SUCCESS SCENARIO

**A configuration to a reference value or data field is made.**

- Internal User selects the reference field or value to configure.
- Internal User adds/updates/decommissions the field or value.
- System validates the configuration.
- Internal User confirms the configuration.
- System stores an audit record of the configuration.
- Use Case ends.

## 23.9 ALTERNATE PATHS

There are no alternate paths for this Use Case.

## 23.10 REQUIREMENTS

TYPE	CATEGORY	REQUIREMENTS
Non-Functional*	Architecture	14-141, 752-753, 773
	Business Rules Engine	142-187, 771
	Correspondence & Forms	188-270, 757, 761
	Database Architecture	328-335, 766-767
	Development and Support Services	336-352
	Disaster Recovery	353-360
	Events and Scheduling	361-372, 754-756, 765
	Public Records	414-436
	Record Management and Audit	437-457
	Search And Navigation	523-557
	Security	558-617, 768
	Usability	657-672, 775

*\*Non-functional requirements span most functional areas of Regulatory Lifecycle Management.*



**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

**Response instructions and keys for completing the Requirements Traceability Verification Matrix (RTVM)**

<b>Note:</b>	The contractor's response to each requirement must be coded as follows:
<b>Contractor Response</b>	<b>Definition</b>
Cannot Support Requirement	The business function is not included in the base product and the base product cannot be configured or customized to meet the required functionality.
Customization Required	The business function requires customized changes to the base product or software development apart from the base product's design, process or structure or customized software needs to be developed to meet the required functionality or integration with another software is needed.  Provide any custom code, interface, report, correspondence or form required to meet the requirement.
Configuration Required	The business function can be met by configuring the base product. In this context, "configuring," means that software coding is not required. If the configuration requires use of an internal tool to create business logic, please indicate in the Contractor Comments column.
Included in Base Product	The business function is included in the base product(s), currently in production and fully demonstrable. If a third party software solution other than the core solution proposed is used to meet a requirement, please indicate what solution is being used in the Contractor Comments column.
Extended Components	Any extension of the base product(s) that requires further development to meet the stated requirement.

<b>Note:</b>	The Extent of Effort information is required if the contractor's response to the requirement is (Customization Required or Configuration Required). The Extent of Effort must be coded as follows:
<b>Extent of Effort</b>	<b>Definition</b>
<b>None</b>	0 hours
<b>Trivial</b>	Less than 8 hours
<b>Low</b>	9 hours to 80 hours
<b>Medium</b>	81 hours to 500 hours
<b>High</b>	501 hours and above
The contractor is <b>encouraged</b> to provide a price estimate in the Contractor Comments column for the associated Extent of Effort.	

<b>Contractor Comments</b>	<p>Contractors are REQUIRED to provide a brief description in Contractor Comments as to how the requirement will be met in accordance with the response provided in the Contractor Response column <b>unless</b> the Contractor Response is "Included in Base Product" OR "Configuration Required" in Column H. The contractor shall complete the table in section 4.2.11.2. of the ITN for the associated Extent of Effort column and include the completed form with the submitted RTVM. The Contractor Comments with respect to each requirement are not scored individually. The RTVM gives the contractor the opportunity to explain their Contractor Response to a requirement as well as to provide specific solution differentiators for how they would fulfill the requirement in the Contractor Comment field. The RTVM is a supplement for the scoring of TAB 5 per the ITN.</p> <p>The Contractor Comments with respect to each requirement are not scored individually. The RTVM gives the contractor the opportunity to explain their Contractor Response to a requirement as well as to provide specific solution differentiators for how they would fulfill the requirement in the Contractor Comment field. The RTVM is a component for the scoring of TAB 5 per the ITN.</p>
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**FDACS**  
**Requirements Traceability Verification Matrix (RTVM)**

<b>Important Note:</b>	<p>Contractors must fill out and complete a response for the requirements within the Requirements Traceability Verification Matrix (RTVM). The contractors' requirement responses will be used in the overall evaluation process of the first Evaluation Criteria, "Contractor's articulation of their Project approach, and the ability of the approach to meet the Department's needs and the requirements of the ITN and <b>Appendix I, Attachment I, RLMS Statement of Work (SOW)</b>" of the ITN. The "Contractor Response" column from the RTVM will serve only for informational purposes and as summary level indicators of the proposed solution for the Evaluators.</p>
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**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
1	Intake	The system shall provide a capability to create and maintain administrator configurable eligibility questions for all application types.	1	Current	Yes	1			
2	Intake	The system shall be able to restrict external users from submitting an application until all required information is provided.	1	Current	Yes	2			
3	Intake	The system shall enable capturing, processing, storing, modifying and tracking of license application information for each license type as defined by business rules.	1	Current	Yes	3			
4	Intake	The system shall enable associating electronic files of supporting information with a transaction, while maintaining clear information on the source of each file (e.g., external user, training program).	1	Current	Yes	4			
5	Intake	The system shall ensure that external users are subject to the same application functionality and restrictions regardless of the application channel.	1	Current	Yes	5			
6	Intake	The system shall capture external user identification at the start of each transaction.	1	Current	Yes	6			
7	Intake	The system shall search and alert when external user information already exists in the system. * If external user information is found, the system shall display the license information and enable the user to confirm. * If external user information is not found, the system shall enable capturing and storing information.	1	Current	Yes	7			
8	Intake	The system shall enable the selection and merging of multiple external user records if duplicate records are discovered.	1	Current	Yes	8			
9	Intake	The system shall ensure that merged account records preserve all associated components.	1	Current	Yes	9			
10	Intake	The system shall provide a capability to display details for an application.	1	Current	Yes	10			
11	Intake	The system shall provide a capability to maintain an administrator configurable timeframe by program area and application type to generate reminders for an incomplete application.	1	Current	Yes	11			
12	Intake	The system shall provide a capability to modify or add additional requirements for processing out-of-state applications.	1	Current	Yes	12			
13	Intake	The system shall provide a capability to determine and display what services are available to assist external users (e.g., location of regional offices and tax collector offices).	1	Current	Yes	13			
14	Intake	The system shall provide a capability to associate a point of service (e.g., location of regional offices and tax collector offices).	1	Current	Yes	14			
15	Intake	The system shall provide a capability to enter and store responses to application eligibility questions.	1	Current	Yes	16			
16	Intake	The system shall provide a capability to match a user to one or more entities - and vice versa.	1	Current	Yes	17			
17	Intake	The system shall provide a capability to save an application prior to submission for completion and submission in the future.	1	Current	Yes	18			
18	Intake	The system shall provide a capability for a user to enter the form of identification provided by an external user.	1	Current	Yes	19			
19	Intake	The system shall provide a capability for a user to associate multiple occupational codes to an external user.	1	Current	Yes	20			
20	Intake	The system shall provide a capability to assign a unique identifier to each application.	1	Current	Yes	21			
21	Intake	The system shall provide a capability to associate applications with an account.	1	Current	Yes	22			
22	Intake	The system shall provide a capability for an external user to certify that they are the applicant.	1	Current	Yes	23			
23	Intake	The system shall provide a capability for an external user to file an initial application or to renew an existing license.	1	Current	Yes	24			
24	Intake	The system shall provide a capability to determine the initial application type (new, renewal) for an application based upon prior application history without user intervention.	1	Current	Yes	25			
25	Intake	The system shall provide a capability to indicate an external user's completion of mandatory training by an approved entity.	1	Current	Yes	26			
26	Intake	The system shall provide a capability to display application intake requirements to an external user.	1	Current	Yes	27			
27	Intake	The system shall provide a capability to determine and present out-of-state options to an external user based upon external user provided information.	1	Current	Yes	28			
28	Intake	The system shall provide a capability to revise application responses prior to final submission.	1	Current	Yes	29			
29	Intake	The system shall provide a capability to allow an external user to confirm that the external user has reviewed, and understands and accepts the information provided as part of the application.	1	Current	Yes	30			
30	Intake	The system shall be able to send out pre-populated forms for applications and licensure process.	1	Current	Yes	31			
31	Fiscal	The system shall provide a capability to display the details of how a balance due was calculated.	1	Current	Yes	32			
32	Fiscal	The system shall provide a capability to process multiple payment transactions on a single business day.	1	Current	Yes	33			
33	Fiscal	The system shall provide a capability to allow external users to modify/save the preferred payment method.	1	Current	Yes	34			
34	Fiscal	The system shall provide the ability to export accounting entries in a standard format.	1	Current	Yes	35			
35	Fiscal	The system shall provide the ability to import accounting entries in a standard format.	1	Current	Yes	36			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
36	Fiscal	The system shall provide the capability to maintain all department Revenue Types and Codes.	1	Current	Yes	37			
37	Fiscal	The system shall enable an authorized user to define and configure fees across license types, transaction types, enforcement actions, miscellaneous sales and any other fee-related transactions.	1	Current	Yes	38			
38	Fiscal	The system shall enable maintaining a history of fee schedules.	1	Current	Yes	39			
39	Fiscal	The system shall account for all monies collected or entered through the system.	1	Current	Yes	40			
40	Fiscal	The system shall provide for fee calculation methods, determined by program area and/or establishment type, to include the capability to prorate balances due for application fees based on authorized user defined dates and by application submission date. Fee calculation methods will include the measure or measures, and the rate(s) that determine the fee.	1	Current	Yes	41			
41	Fiscal	The system shall manage customized financial information, accounting for all monies collected, including accounts receivable and invoicing.	1	Current	Yes	42			
42	Fiscal	The system shall integrate all payment methods accepted by the department directly into the licensing system per the current state banking contract.	1	Current	Yes	43			
43	Fiscal	The system shall prevent the submission of duplicate payments for the same fee regardless of revenue source (back office, internet, etc.)	1	Current	Yes	44			
44	Fiscal	The system shall facilitate the creation of one invoice detailing all balances due to FDACS with the ability to select one or more invoice lines to pay per business rules.	1	Current	Yes	45			
45	Fiscal	The system shall enable FDACS to allow external users to make multiple payments for fees, fines or penalties per program area business rules.	1	Current	Yes	46			
46	Fiscal	The system shall enable adjusting, returning, and voidance of fee and fine receipt records. The system will provide a comment or note field for any such adjustment, return, or voidance.	1	Current	Yes	47			
47	Fiscal	The system shall enable an authorized user to un-assign a payment that has been assigned to satisfy a fee and either reassign or refund the payment.	1	Current	Yes	48			
48	Fiscal	The system shall calculate license fees, late fees, and penalties based on the user-defined fee schedule and business rules.	1	Current	Yes	49			
49	Fiscal	The system shall provide an interface to a third-party payment service for the processing of electronic payments.	1	Current	Yes	50			
50	Fiscal	The system shall enable bundling multiple balances due for a single payment.	1	Current	Yes	51			
51	Fiscal	The system shall internally flag and notify the business unit an application if an external user's payment is denied.	1	Current	Yes	52			
52	Fiscal	The system shall enable tracking bad check fees separately from the amount of the balance due.	1	Current	Yes	53			
53	Fiscal	The system shall enable associating a repayment with the original balance due.	1	Current	Yes	54			
54	Fiscal	The system shall enable recording and follow up with external user on underpayment of fees and fines.	1	Current	Yes	55			
55	Fiscal	The system shall provide the ability to mark a payment as "RETURNED" if the payment is returned by the banking institution.	1	Current	Yes	56			
56	Fiscal	The system shall enable an authorized user to refund an overpayment to an external user based on business rules.	1	Current	Yes	57			
57	Fiscal	The system shall enable requesting a full or partial refund based on business rules.	1	Current	Yes	58			
58	Fiscal	The system shall automatically generate and process an approved refund according to business rules.	1	Current	Yes	59			
59	Fiscal	The system shall allow the refund amount to be applied to other monies owed by the external user per business rules.	1	Current	Yes	60			
60	Fiscal	The system shall enable applying unique fee formulas for each fee assessment according to business rules.	1	Current	Yes	61			
61	Fiscal	The system shall enable an authorized user to define and configure fees across license types, transaction types, enforcement actions, miscellaneous sales and any other fee-related transactions.	1	Current	Yes	62			
62	Fiscal	The system shall provide the capability to void financial transactions and make appropriate changes to external user records.	1	Current	Yes	63			
63	Fiscal	The system shall support a process for handling void transactions to maintain the integrity of financial information and provide security against fraud.	1	Current	Yes	64			
64	Fiscal	The system shall allow authorized users to process voids for licenses issued at any location and without an imposed time limit based upon business rules.	1	Current	Yes	65			
65	Fiscal	The system shall facilitate payment of balances due through the Internet via credit, debit card, ACH (Automated Clearing House), or any other payment method approved by the department.	1	Current	Yes	66			
66	Fiscal	The system shall provide the ability in accordance with business rules to add a convenience and/or administrative fee to balances due via the Internet, including but not limited to: • Handling/transaction fee. • Flat item fee. • Flat transaction fee.	1	Current	Yes	67			
67	Fiscal	The system shall enable an authorized user to reconcile and approve revenues prior to release for deposit.	1	Current	Yes	68			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
68	Fiscal	The system shall identify and allow for reconciliation of discrepancies between revenues and deposits.	1	Current	Yes	69			
69	Fiscal	The system shall identify all charges and their associated payments to the proper accounting codes per business rules.	1	Current	Yes	70			
70	Fiscal	The system shall enable the establishment of new funds or changes to existing funds.	1	Current	Yes	71			
71	Fiscal	The system shall provide a means to link deposited funds with their associated revenue transactions.	1	Current	Yes	72			
72	Fiscal	The system shall provide the capability to post a single payment across multiple licenses.	1	Current	Yes	73			
73	Fiscal	The system shall provide the capability to post multiple payments to a single license.	1	Current	Yes	74			
74	Fiscal	The system shall provide a batch upload capability for revenue transactions to FLAIR.	1	Current	Yes	75			
75	Fiscal	The system shall provide the capability to validate account receivable payments to FLAIR.	1	Current	Yes	76			
76	Fiscal	The system shall provide a capability to upload a settlement file to RLMS revenue processing and existing FDACS REV application which includes data elements.	1	Current	Yes	77			
77	Fiscal	The system shall provide the capability for the Financial Inquiry System (FIS) to retrieve revenue transaction data per business rules.	1	Current	Yes	78			
78	Fiscal	The system shall provide the capability to process multiple deposits in one business day.	1	Current	Yes	79			
79	Fiscal	The system shall provide the capability to import data from the coupon application (Smart Source).	1	Current	Yes	80			
80	Fiscal	The system shall provide the capability to input transactions (TR 30, TR 33, etc.) for remote deposits.	1	Current	Yes	81			
81	Fiscal	The system shall provide the capability to input transactions (TR 96, TR 30, etc.) for journal transfers.	1	Current	Yes	82			
82	Fiscal	The system shall provide the capability to input transactions (TR 33, etc.) for grant deposits.	1	Current	Yes	83			
83	Fiscal	The system shall provide the capability to upload tax collector and other third-party transactions to REV.	1	Current	Yes	84			
84	Fiscal	The system shall provide the capability to upload receivables (90's) to Accounts Receivable.	1	Current	Yes	85			
85	Fiscal	The system shall provide the capability to process all revenue payments and/or revenue adjustments.	1	Current	Yes	86			
86	Fiscal	In the event that a credit or debit card transaction is declined, the external user shall be given the opportunity to re-enter the credit or debit card information or cancel the order per business rule.	1	Current	Yes	87			
87	Fiscal	Prior to transaction completion and credit card processing the system shall provide the ability for the external user to validate all transaction information.	1	Current	Yes	88			
88	Fiscal	The system shall facilitate payment of the balances due through the Internet via all payment methods accepted by the department.	1	Current	Yes	89			
89	Fiscal	The system shall provide the capability to prevent the issuance of a refund if a 'hold' is on the license or the external user per business rules.	1	Current	Yes	90			
90	Fiscal	The system shall generate a unique fee receipt number for each payment instrument (check, money order, debit card, credit card, etc.) received.	1	Current	Yes	91			
91	Fiscal	The system shall, when voiding an item, ensure that the individual license item is what is voided, not the transaction record/history.	1	Current	Yes	92			
92	Fiscal	The system shall allow authorized users to control which specific item types can be voided and by whom.	1	Current	Yes	93			
93	Fiscal	The system shall limit authorized users to voiding license transactions within a system controlled (as defined by the state) time period in accordance with business rules.	1	Current	Yes	94			
94	Verification	The system shall verify the validity of the provided Federal Employee Identification Number (FEIN).	1	Current	Yes	95			
95	Verification	The system shall enable an authorized user to directly update the individual education records of external users in their own respective programs via secure on-line access (e.g. update external user's record with course record/result and date).	1	Current	Yes	96			
96	Verification	The system shall update the attendee's training records with education information from course providers and third party organizations.	1	Current	Yes	97			
97	Verification	The system shall enable authorized users to conduct qualifying and continuing education audits of the education completed by an attendee.	1	Current	Yes	98			
98	Verification	The system shall provide the ability to create, view, search, list, map, and maintain: <ul style="list-style-type: none"> <li>• Trainers.</li> <li>• External User.</li> <li>• Programs.</li> <li>• Classes (including time, date, phone #, location).</li> <li>• Classes open or closed to the public.</li> </ul>	1	Current	Yes	99			
99	Verification	The system shall provide a capability for a user to indicate that the verification review process is complete for an application.	1	Current	Yes	100			
100	Verification	The system shall provide a capability to match external user records with relevant information obtained via system interface with the other government agencies (e.g., Florida Department of Corrections, Department of Highway Safety and Motor Vehicles, Florida Department of Law Enforcement, etc.) without user intervention.	1	Current	Yes	101			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
101	Verification	The system shall provide a capability to determine if an external user meets the eligibility requirements to file an application without user intervention.	1	Current	Yes	102			
102	Verification	The system shall provide a capability to process an application, without user intervention, based upon the satisfaction of administrator configurable business rules (i.e., 'no touch' application).	1	Current	Yes	103			
103	Research & Resolve	The system shall allow authorized users to maintain a narrative comments section for each unique account record that is capable of recording comments over time and associating each comment with the date entered and user ID responsible for the comment	1	Current	Yes	104			
104	Research & Resolve	The system shall enable an authorized user to change the status of a license at any point in the license period.	1	Current	Yes	105			
105	Research & Resolve	The system shall enable assigning, tracking and changing of disposition status as well as other information such as interim dispositions and the final recommendation (approval or denial).	1	Current	Yes	106			
106	Research & Resolve	The system shall enable assigning, modifying or removing one or more 'Pending' statuses for an application or license record.	1	Current	Yes	107			
107	Research & Resolve	The system shall enable tracking the status of each license or application by authorized user, and by the external user through the internet. This includes not only tracking of the overall status, but system shall show a checklist of each step in the process, the status for that step, and who is responsible for completing it. The steps in the checklist shall be configurable by license type.	1	Current	Yes	108			
108	Legal	The system shall support legacy case numbering.	1	Current	Yes	109			
109	Legal	The system shall enable maintaining a complete history of enforcement information associated with an external user based on user specified business rules.	1	Current	Yes	110			
110	Legal	The system shall provide an integrated enforcement capability to manage complaints, inspections, case investigations, hearings and disciplinary actions.	1	Current	Yes	111			
111	Legal	The system shall enable associating each enforcement activity for unlicensed activity. In those cases where department inspections or investigations result in enforcement activities involving unlicensed or unpermitted entities, the system needs to provide a mechanism to allow the department to record, consolidate, track, and report on those activities.	1	Current	Yes	112			
112	Legal	The system shall provide a capability to edit and validate data fields for an Election of Rights.	1	Current	Yes	113			
113	Legal	The system shall provide the ability to associate documents to a case at any time.	1	Current	Yes	114			
114	Legal	The system shall provide a capability to uniquely identify all documents associated with an Election of Rights.	1	Current	Yes	115			
115	Legal	The system shall provide a mechanism to maintain a history of each Election of Rights.	1	Current	Yes	116			
116	Legal	The system shall provide a capability to allow each Election of Rights case type to have its own administrator configurable aging criteria.	1	Current	Yes	117			
117	Legal	The system shall provide the capability to archive Election of Rights cases based on administrator configurable criteria such as date or status.	1	Current	Yes	118			
118	Legal	The system shall provide the capability to inactivate Election of Rights cases based on administrator configurable criteria such as date or status.	1	Current	Yes	119			
119	Legal	The system shall provide a capability for a supervisor/manager to display a list of hearings or a list of legal case files assigned to resources reporting to the supervisor/manager.	1	Current	Yes	120			
120	Legal	The system shall provide a capability to establish and maintain real-time status information for each Election of Rights case.	1	Current	Yes	121			
121	Legal	The system shall provide a capability to prepare and transmit Election of Rights case information to the District Courts of Appeal (DCA) as required by the DCA or any other outside entity per business rules.	1	Current	Yes	122			
122	Legal	The system shall provide a capability to record that an Election of Rights has been filed with the District Courts of Appeal (DCA) to which the department is a party.	1	Current	Yes	123			
123	Legal	The system shall provide a mechanism to log activities performed on an Election of Rights case.	1	Current	Yes	124			
124	Legal	The system shall provide a mechanism to re-schedule Election of Rights cases for which continuances are granted.	1	Current	Yes	125			
125	Legal	The system shall provide the capability to define specific criteria or qualifications to prevent or enable hearing officers or attorneys from being assigned specific cases.	1	Current	Yes	126			
126	Legal	The system shall provide the ability to approve or deny a request for a continuance.	1	Current	Yes	127			
127	Legal	The system shall provide the ability to capture and update contact information for all parties to an Election of Rights.	1	Current	Yes	128			
128	Legal	The system shall provide the ability to execute case queries based upon user parameters.	1	Current	Yes	129			
129	Legal	The system shall provide a capability to review and edit notice text prior to dissemination.	1	Current	Yes	130			
130	Legal	The system shall provide a capability to capture and record contacts/notes/comments by authorized users to document contacts with any and all parties.	1	Current	Yes	131			
131	Legal	The system shall provide an ability to allow time extensions to be established for Election of Rights.	1	Current	Yes	132			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
132	Legal	The system shall provide a capability to determine Election of Rights filing dates and how the Election of Rights was filed.	1	Current	Yes	133			
133	Legal	The system shall provide a mechanism to intake Election of Rights information and apply the same rules, edits, and validations regardless of whether the intake is performed over the internet or by a desktop user.	1	Current	Yes	134			
134	Legal	The system shall provide a capability to upload, store, and link Election of Rights related documentation as part of the Election of Rights filing process.	1	Current	Yes	135			
135	Legal	The system shall provide the ability to identify missing or incorrect Election of Rights information in accordance with administrator configurable validation rules.	1	Current	Yes	136			
136	Legal	The system shall provide a capability to calculate timeframes for Election of Rights filings.	1	Current	Yes	137			
137	Legal	The system shall provide a capability to indicate when an Election of Rights filing date exceeds administrator configurable time limits.	1	Current	Yes	138			
138	Legal	The system shall provide a capability to display Election of Rights submissions and make updates to correct information or to add missing information.	1	Current	Yes	139			
139	Legal	The system shall provide the ability for a user to confirm Election of Rights information prior to submission.	1	Current	Yes	140			
140	Legal	The system shall provide a capability to assign a unique tracking number for each Election of Rights case filed per business rule.	1	Current	Yes	141			
141	Legal	The system shall provide a capability to create and maintain a case file for each Election of Rights. If a case file was not previously created this requirement provides the capability for the system to create one.	1	Current	Yes	142			
142	Legal	The system shall provide an ability to accept an untimely Election of Rights.	1	Current	Yes	143			
143	Legal	The system shall provide a capability to allow a user to make updates to correct Election of Rights information or to add missing information.	1	Current	Yes	144			
144	Legal	The system shall provide a capability for an administrator to control how cases are distributed based upon administrator configurable parameters.	1	Current	Yes	145			
145	Legal	The system shall provide a capability to associate cases. The department may desire to associate ("link") cases which, while managed separately and distinctly, may address a similar situation or multiple party involvement. For instance, three security guards discharge their weapons during an incident. The department may initiate three separate cases (one for each guard/individual) to determine whether to revoke a license. At the same time, the department may wish to "link" or "associate" the three cases since they were initiated based on the same incident.	1	Current	Yes	146			
146	Legal	The system shall provide the ability to identify and associate cases filed by an external user.	1	Current	Yes	147			
147	Legal	The system shall provide a capability to consolidate cases.	1	Current	Yes	148			
148	Legal	The system shall provide a capability to prioritize cases.	1	Current	Yes	149			
149	Legal	The system shall provide a capability to maintain a dedicated hearing officer or attorney pool for each case type.	1	Current	Yes	150			
150	Legal	The system shall provide a capability to maintain a list of issues and case types that each hearing officer or attorney may be assigned.	1	Current	Yes	151			
151	Legal	The system shall provide the ability to allow a hearing officer or attorney to recuse himself/herself from a case.	1	Current	Yes	152			
152	Legal	The system shall provide the ability to disqualify a hearing officer or attorney from a case.	1	Current	Yes	153			
153	Legal	The system shall provide a capability to uniquely identify exhibits and documents prior to dissemination to facilitate identification by the respective parties to a case.	1	Current	Yes	154			
154	Legal	The system shall provide a mechanism to disseminate correspondence to parties and locations in addition to those associated with the parties' addresses of record (e.g., to job sites and representatives).	1	Current	Yes	155			
155	Legal	The system shall provide the ability to schedule hearings for the same external user consecutively, assigning them to the same hearing officer or attorney.	1	Current	Yes	156			
156	Legal	The system shall provide a capability to permit authorized users to access hearing information.	1	Current	Yes	157			
157	Legal	The system shall provide a capability to capture notes/comments by attorneys and hearing officers while handling legal case files or during the conduct of the hearing.	1	Current	Yes	158			
158	Legal	The system shall provide a capability to allow hearing officers to modify case information (e.g., issues that may arise during a hearing).	1	Current	Yes	159			
159	Legal	The system shall provide a capability to record the description(s) of exhibit(s).	1	Current	Yes	160			
160	Legal	The system shall provide the ability to store briefs filed by parties to an Election of Rights.	1	Current	Yes	161			
161	Legal	The system shall provide a capability to make all orders available and searchable by users.	1	Current	Yes	162			
162	Legal	The system shall provide a capability to create an order.	1	Current	Yes	163			
163	Legal	The system shall provide a capability to allow an order to be saved at any time throughout the writing/editing process and allow the author to come back at a later time.	1	Current	Yes	164			
164	Legal	The system shall provide a capability to include the appropriate sections of law (citations) as part of the order.	1	Current	Yes	165			
165	Legal	The system shall provide a capability to select and insert standard text blocks into order documents.	1	Current	Yes	166			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
166	Legal	The system shall provide the ability for an authorized administrator to ADD/UPDATE/DELETE templates and standard text blocks for the entire range of legal documents created by attorneys and legal support staff in the department: license denials, license suspensions, license revocations, administrative complaints, final orders, amended final orders, notices of insufficient petition, etc.).	1	Current	Yes	167			
167	Legal	The system shall provide a capability to edit text of an order prior to dissemination.	1	Current	Yes	168			
168	Legal	The system shall provide a capability to allow users to re-open previously closed cases.	1	Current	Yes	169			
169	Legal	The system shall provide a capability to generate notices to all parties regarding the outcome of a re-open order.	1	Current	Yes	170			
170	Legal	The system shall provide the ability to reinstate a previously withdrawn Election of Rights.	1	Current	Yes	171			
171	Legal	The system shall provide a capability to allow an Election of Rights to be withdrawn prior to or as part of a hearing.	1	Current	Yes	172			
172	Legal	The system shall provide an ability to positively identify the party requesting a withdrawal including the capture of an electronic signature.	1	Current	Yes	173			
173	Legal	The system shall provide a capability to generate and disseminate notices to all parties to a case when a correction request/petition is denied.	1	Current	Yes	174			
174	Legal	The system shall provide an ability to rescind a prior order.	1	Current	Yes	175			
175	Legal	The system shall provide the ability for an authorized administrator to add, update, and delete order templates and standard text blocks.	1	Current	Yes	176			
176	Legal	The system shall provide the ability to issue subpoenas.	1	Current	Yes	177			
177	Legal	The system shall provide an ability to dismiss a case.	1	Current	Yes	178			
178	Legal	The system shall provide the ability to create and store a case summary.	1	Current	Yes	179			
179	Legal	The system shall provide a capability to include a work queue for Election of Rights scheduling.	1	Current	Yes	180			
180	Legal	The system shall provide the ability, based upon administrator configurable rules, to route orders through a review/approval process.	1	Current	Yes	181			
181	Legal	The system shall provide a mechanism to capture and authenticate electronic signatures.	1	Current	Yes	182			
182	Legal	The system shall provide a capability to identify resource conflicts during the scheduling process.	1	Current	Yes	183			
183	Legal	The system shall provide a capability to prevent double booking of a party, resource, or location.	1	Current	Yes	184			
184	Legal	The system shall provide the ability for an authorized user to override all system generated parameters when scheduling a hearing.	1	Current	Yes	185			
185	Legal	The system shall provide a capability to provide administrator controls to govern the operation, access, and available functionality associated with work queues.	1	Current	Yes	186			
186	Legal	The system shall provide a capability to index all incoming and outgoing correspondence and make it available on-line in electronic format.	1	Current	Yes	187			
187	Legal	The system shall provide a capability to schedule hearing assignments taking into account the hearing officer or attorney pool, case type, and skill level.	1	Current	Yes	188			
188	Legal	The system shall provide a capability to allow for the substitution of a hearing officer or attorney for a case.	1	Current	Yes	189			
189	Legal	The system shall provide a capability to allow a user to schedule hearings for multiple days, specify the hearing duration, and provide a replication feature to schedule the hearing for multiple non-consecutive days.	1	Current	Yes	190			
190	Legal	The system shall provide the ability to postpone and reschedule a hearing.	1	Current	Yes	191			
191	Legal	The system shall provide an ability for an administrator to alter the schedule and provide unavailable times of resources and locations assigned to them.	1	Current	Yes	192			
192	Legal	The system shall provide the ability to search for scheduled hearings.	1	Current	Yes	193			
193	Legal	The system shall allow for final resolution orders to be put on the Department's website	1	Current	Yes	194			
194	Investigation/Inspections	System shall capture the geolocation of Inspection/Investigation activities via GPS, telecom array, ISP, web map interface or other method.	1	Current	Yes	195			
195	Investigation/Inspections	The system shall relate Inspection/Investigation activities to existing spatial data (entity locations), or provide the means to create new spatial data as appropriate to which those activities shall be related.	1	Current	Yes	196			
196	Investigation/Inspections	The system shall display Inspection/Investigation locations symbolized based on user defined priority levels in a web map.	1	Current	Yes	197			
197	Investigation/Inspections	The system shall enable entering time of day by inspectors for various tasks related to an inspection.	1	Current	Yes	198			
198	Investigation/Inspections	The system shall calculate time spent on various tasks based on actual times entered by inspectors.	1	Current	Yes	199			
199	Investigation/Inspections	The system shall calculate mileage based on odometer data entered by inspectors.	1	Current	Yes	200			
200	Investigation/Inspections	The system shall provide reports based on inspector data based on business rules.	1	Current	Yes	201			



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Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
201	Investigation/Inspections	The system shall enable authorized users to add, update, or delete one or more written notes to inspection information.	1	Current	Yes	202			
202	Investigation/Inspections	The system shall enable authorized users to record the arrival and departure times for each day that the inspection is performed.	1	Current	Yes	203			
203	Investigation/Inspections	The system shall enable capturing and maintaining inspection results information (including dispositions, violations, correction plans and status of compliance) for each inspection, both online and offline.	1	Current	Yes	204			
204	Investigation/Inspections	The system shall enable authorized users to view and modify their individual schedules in the field.	1	Current	Yes	205			
205	Investigation/Inspections	The system shall enable authorized users to schedule inspection and follow up appointments from the field.	1	Current	Yes	206			
206	Investigation/Inspections	The system shall enable printing of notices, violations, and inspection reports from a field location to any attached device, including to a local file in Portable Document File (PDF) format.	1	Current	Yes	207			
207	Investigation/Inspections	The system shall enable the defining of required inspections for each license type.	1	Current	Yes	208			
208	Investigation/Inspections	The system shall select establishments, devices, lots, or other criteria for inspection as required by business rules.	1	Current	Yes	209			
209	Investigation/Inspections	The system shall enable capturing and maintaining inspection criteria.	1	Current	Yes	210			
210	Investigation/Inspections	The system shall enable authorized users to append to inspection reports.	1	Current	Yes	211			
211	Investigation/Inspections	The system shall enable authorized users to track post-inspection activities.	1	Current	Yes	212			
212	Investigation/Inspections	The system shall enable retrieving and viewing previous inspection dates, results and violations.	1	Current	Yes	213			
213	Investigation/Inspections	The system shall enable authorized users to assign a predefined inspection type for a scheduled inspection.	1	Current	Yes	214			
214	Investigation/Inspections	The system shall enable automatic creation of inspection/investigations that enables a supervisor to add or remove selected locations.	1	Current	Yes	215			
215	Investigation/Inspections	The system shall allow supervisors to view a web map, calendar, employee information, and relevant entity information (i.e., GIS data features, time periods, and priority), and to manually select/deselect and assign inspection schedules and locations to inspectors/investigators.	1	Current	Yes	216			
216	Investigation/Inspections	The system shall enable creating and maintaining inspection guides to help organize the steps involved and criteria for each type of inspection.	1	Current	Yes	217			
217	Investigation/Inspections	The system shall allow the state to issue and track required corrective actions to address inspection/investigation violations and be capable of performing the following functions: <ul style="list-style-type: none"> <li>• Provide for a civil penalty (fines) tracking system that includes notification, enforcement actions (penalty amounts), and payment status;</li> <li>• Custom report generation functions that summarize penalties issued, collected, pending, and other criteria as required;</li> <li>• Provide required corrective actions for inspection violations as identified from a list or table provided by the state;</li> <li>• Schedule re-inspections, where applicable, as specified by business rules;</li> <li>• Ability for users to view the current status of corrective action plans, where applicable, as specified by business rules;</li> <li>• Ability for the system to automatically track specific or certain repeat violations;</li> <li>• Assigning reason codes to inspection violations for statistical analysis; and</li> <li>• Ability for users to generate reports of non-corrected (open) and corrected (closed) inspection violations.</li> </ul>	1	Current	Yes	218			
218	Investigation/Inspections	The system shall allow mobile inspections to be performed under disconnected conditions, and to synchronize and reconcile transactions once re-connected.	1	Current	Yes	219			
219	Investigation/Inspections	System must capture appropriate spatial information when address information is invalid or inapplicable.	1	Current	Yes	220			
220	Investigation/Inspections	The system shall enable external users, inspectors, and supervisors to visually verify the location of an entity or entity feature via interactive map.	1	Current	Yes	221			
221	Investigation/Inspections	Business information relevant to operational planning, logistics, scheduling/coordination of inspections, and emergency management across business areas shall leverage spatial analysis and visualization technologies.	1	Current	Yes	222			
222	Intake	The system shall provide a capability for the system to notify the applicant if payment or application has previously been received.	1	Current	Yes	225			

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Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
223	Intake	The system shall be ADA compliant with screens for sight and hearing impaired individuals.	1	Current	Yes	227			
224	Intake	The system shall have the capability to link a unique payment identifier to each unique application identifier.	1	Current	Yes	228			
225	Intake	The system shall provide for the entity ID to be used for the entire entity lifecycle.	1	Current	Yes	229			
226	Intake	The system shall have the capability to notify the applicant of any outstanding fees.	1	Current	Yes	230			
227	Intake	The system must provide an audit trail of interactions with a transaction.	1	Current	Yes	231			
228	Intake	The system shall have the capability to provide "hover" information on the screen.	1	Current	Yes	232			
229	Intake	The system shall provide a capability to place data from an OCR scan into the software applications fields without further internal user intervention.	1	Current	Yes	233			
230	Intake	The system shall provide a capability for each application to be date/time stamped.	1	Current	Yes	234			
231	Intake	The system shall provide a notification, based upon business rules, of pending application deadlines for approval or denial.	1	Current	Yes	235			
232	Intake	The system shall provide for a parent - child relationship along entity IDs.	1	Current	Yes	236			
233	Fiscal	The system shall enable the applicant to request a refund through the self-service portal.	1	Current	Yes	237			
234	Investigation/Inspections	The system shall allow users to view a master inspection calendar across functional program areas.	1	Current	Yes	238			
235	Legal	The system shall provide the capability to track and process administrative complaints through the entire process per business rules.	1	Current	Yes	239			
236	Legal	The system shall provide the capability to track and process administrative suspensions through the entire process per business rules.	1	Current	Yes	240			
237	Legal	The system shall provide the capability of generating and tracking USPS Certified Mail.	1	Current	Yes	241			
238	Verification	The system shall provide the capability to track and process denials/suspensions/revocations through the entire process per business rules.	1	Current	Yes	242			
239	Legal	The system shall provide the capability to track both regulated and non-regulated complaints through the entire process per business rules.	1	Current	Yes	243			
240	Legal	The system shall provide the capability to track and process cases throughout each step of the legal appeals process per business rules.	1	Current	Yes	244			
241	Investigation/Inspections	The system shall provide the capability to track and search phone numbers on Do Not Call Complaints.	1	Current	Yes	245			
242	Investigation/Inspections	The system shall provide the capability to create a Do Not Call list that can be sent out to purchasers electronically.	1	Current	Yes	246			
243	Intake	The system shall have the ability to publish online tests, allow users to register for testing, collect payments related to testing, track scores for use in licensing requirements, and link the test results to a specific applicant for a license.	1	Current	Yes	247			
244	Intake	The system shall provide a capability for an authorized user to override system determined application type.	1	Current	Yes	248			
245	Fiscal	The system shall provide the ability for a user override of the default Chart of Accounts to correct errors, with appropriate security.	1	Current	Yes	250			
246	Fiscal	The system shall provide the ability for clearance processes for previously unidentified receipts held in clearing accounts.	1	Current	Yes	251			
247	Fiscal	The system shall provide the ability for manual recording and adjusting receipts using valid Chart of Accounts Codes with appropriate security.	1	Current	Yes	252			
248	Fiscal	The system shall provide the ability for on-line review of all items in a receipt batch before the batch is posted.	1	Current	Yes	253			
249	Fiscal	The system shall provide the ability for processing receipts not associated with a specific permit/license (e.g., refunds, badge, reimbursement).	1	Current	Yes	254			
250	Fiscal	The system shall provide the ability for remote users, including users at temporary locations, to collect funds, enter, and account for receipts.	1	Current	Yes	255			
251	Fiscal	The system shall provide the ability to access and review the transaction detail between receipt and deposit.	1	Current	Yes	257			
252	Fiscal	The system shall provide the ability to account for all cash receipts revenue (e.g., one-time payments for goods/services without an invoice).	1	Current	Yes	258			
253	Fiscal	The system shall provide the ability to assign/identify deposit numbers.	1	Current	Yes	259			
254	Fiscal	The system shall provide the ability to associate the deposit number with each of the revenue transactions included within the deposit.	1	Current	Yes	260			
255	Fiscal	The system shall provide the ability to capture the following on each customer receipt, at a minimum: Cashier ID, Customer Account Number, Date, Payment Amount.	1	Current	Yes	261			

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Final #	Core Process	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
256	Fiscal	The system shall provide the ability to compile receipts into deposits more or less frequently than daily.	1	Current	Yes	262			
257	Fiscal	The system shall provide the ability to correct a receipt batch at any time before the batch is posted.	1	Current	Yes	263			
258	Fiscal	The system shall provide the ability to correct misapplied receipts.	1	Current	Yes	264			
259	Fiscal	The system shall provide the ability to enter all Chart of Account codes on any type of revenue/receivables transaction and apply all edits and validations against the valid Chart of Accounts code combinations entered on transactions.	1	Current	Yes	265			
260	Fiscal	The system shall provide the ability to enter detailed receipt transactions for cash collected.	1	Current	Yes	266			
261	Fiscal	The system shall provide the ability to generate a unique deposit slip with corresponding deposit number.	1	Current	Yes	268			
262	Fiscal	The system shall provide the ability to identify revenue as balanced.	1	Current	Yes	269			
263	Fiscal	The system shall provide the ability to identify revenue as deposited.	1	Current	Yes	270			
264	Fiscal	The system shall provide the ability to identify revenue as received.	1	Current	Yes	271			
265	Fiscal	The system shall provide the ability to identify revenue as refunded.	1	Current	Yes	272			
266	Fiscal	The system shall provide the ability to integrate cash receipting functions throughout all modules/components within RLMS.	1	Current	Yes	273			
267	Fiscal	The system shall provide the ability to maintain detailed transaction activity for each account.	1	Current	Yes	274			
268	Fiscal	The system shall provide the ability to print bar codes on return envelopes or remittance advice to aid in processing payments once received by automatically opening a cash receipt transaction and pre-populating data.	1	Current	Yes	275			
269	Fiscal	The system shall provide the ability to produce a Cash Balance Report organized by unique fund, fund type, and fund group based on the Chart of Account codes for specified date ranges (e.g., monthly, quarterly, and yearly).	1	Current	Yes	277			
270	Fiscal	The system shall provide the ability to receive revenue that is not tied to a customer record.	1	Current	Yes	278			
271	Fiscal	The system shall provide the ability to record all refunds against the appropriate defined revenue accounts.	1	Current	Yes	279			
272	Fiscal	The system shall provide the ability to record the receipt amount to the correct account upon entry of the receipt transaction based upon user defined data elements.	1	Current	Yes	280			
273	Fiscal	The system shall provide the ability to select methodology for automatically applying partial payments (for example, applying the payments in line order).	1	Current	Yes	281			
274	Fiscal	The system shall provide the ability to void receipts with user defined security controls and an audit trail.	1	Current	Yes	282			
275	Fiscal	The system shall provide the the ability for a user with proper security and controls, to code a receipt based on user defined criteria.	1	Current	Yes	283			
276	Fiscal	The system shall provide the the ability to generate and maintain an audit trail of all cash receipts activity.	1	Current	Yes	284			
277	Fiscal	The system shall provide the the ability to identify, record and store the account coding distribution (e.g., organization, object, project, activity) to which each cash receipt was deposited based upon user defined data elements.	1	Current	Yes	285			
278	Fiscal	The system shall have the ability to generate refund notices due to fee changes based upon user-defined parameters.	1	Current	Yes	286			
279	Fiscal	The system shall have the ability to post unapplied payments based upon an authorized user approval (e.g., unapplied payments would go into a "suspense" account until reconciled and applied to correct entity).	1	Current	Yes	289			
280	Fiscal	The system will have the ability for auto reconciliation of electronic payments with the payment processor, state treasury and RLMS transactions.	1	Current	Yes	290			
281	Fiscal	The system shall provide the capability to apply the ACH payments to the individual records per business rules.	1	Current	Yes	291			
282	Investigation/Inspections	The system shall enable authorized users to assess regulatory tasks and coordinate (e.g. scheduling, assignment, etc.) personnel across business areas for single entities having multiple regulatory types. (1:Many).	1	Current	Yes	292			
283	Investigation/Inspections	The system shall enable authorized users to assess regulatory tasks and coordinate (e.g. scheduling, assignment, etc.) personnel within a business area for multiple entities having a common regulatory type. (Many:1).	1	Current	Yes	293			
284	Fiscal	The system shall enable the applicant to refuse the refund through the self-service portal or an authorized internal user to mark the refund as refused.	1	Current	Yes	294			
285	Fiscal	The system shall have a flag to indicate the refund has been sent to unclaimed property.	1	Current	Yes	295			
286	Fiscal	The system will generate an on-demand report indicating refunds which have been marked unclaimed property.	1	Current	Yes	296			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
1	Account Management	The system shall enable viewing, managing and tracking of all entities (both businesses and individuals), all licenses related to those entities, and all applications, legal actions, or other licensing-related business actions related to those entities.	1	Current	Yes	1			
2	Account Management	The system shall allow multiple addresses and address types to be associated with an external user.	1	Current	Yes	2			
3	Account Management	The system shall have the capability to display similarly spelled names or phonetically similar names and other pertinent demographic data for selection to prevent the same entity from having more than one account .	1	Current	Yes	3			
4	Account Management	The system shall provide the ability for an external user to create an account and associate accounts.	1	Current	Yes	4			
5	Account Management	The system shall provide the ability to define functionality accessible for categories of external users (licensees, employers, third-party administrators, etc.) to provide employee action reports, training documentation, etc.	1	Current	Yes	5			
6	Account Management	The system shall provide the ability to associate accounts with specific permissions granted by the "parent" entity (e.g., an employer granting a third-party administrator access to their records).	1	Current	Yes	6			
7	Account Management	The system shall provide the ability to maintain an administrator-defined list of required fields the external user must complete to create an account (e.g., name, address) by business rules.	1	Current	Yes	7			
8	Account Management	The system shall provide the ability to capture demographic information for an external user.	1	Current	Yes	8			
9	Account Management	The system shall provide the ability for an external user to maintain information related to his/her account.	1	Current	Yes	9			
10	Account Management	The system shall provide the ability for an external user to define the preferred method of communication for all correspondence associated with his/her account.	1	Current	Yes	10			
11	Account Management	The system shall provide the ability to require new, registering external users to agree to an End User Agreement.	1	Current	Yes	11			
12	Account Management	The system shall provide the ability for an external user to securely reset the password associated to the account.	1	Current	Yes	12			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
13	Account Management	The system shall provide the ability to geocode each locational address entered, creating spatial data (points) and shall provide an accompanying web map so that users may visually verify that the address entered is geographically correct. The user shall also be able to enter spatial coordinates which will then be displayed via an accompanying webmap for user verification.	1	Current	Yes	14			
14	Architecture	The system shall enable modifying external user information according to business rules.	1	Current	Yes	15			
15	Architecture	The system shall enable capturing and maintaining a reason and beginning and ending dates for each 'Pending' status.	1	Current	Yes	16			
16	Architecture	The system shall enable the configuration of an unlimited number of license statuses across license types. This includes status hierarchy, overrides, actions, or processes which affect status.	1	Current	Yes	17			
17	Architecture	The system shall enable associating multiple licenses and supporting records to an external user.	1	Current	Yes	18			
18	Architecture	The system shall enable associating related licenses.	1	Current	Yes	19			
19	Architecture	The system shall allow a single entity to have one or more related subordinate entities, and for subordinate entities that have one or more parent entities.	1	Current	Yes	20			
20	Architecture	The system shall provide users with a visual indication of data entry fields that are mandatory.	1	Current	Yes	21			
21	Architecture	The system shall provide the user with predefined selectable lists wherever possible. Drop-down lists, radio buttons and "lookup" tables will maximize the entry of correct and complete data and will ensure that business rules are followed.	1	Current	Yes	22			
22	Architecture	The system shall validate entered information against already existing information in the system.	1	Current	Yes	23			
23	Architecture	The system shall validate individual fields based on established business rules and/or data available, and provide immediate feedback to the user.	1	Current	Yes	24			
24	Architecture	The system shall return error messages to the user when invalid information is entered into any given field.	1	Current	Yes	25			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
25	Architecture	Screen edits, data input masks, and calculations shall be incorporated into the input process to further support the entry and submission of correct and adequate information.	1	Current	Yes	26			
26	Architecture	All dates in the system shall carry the full four digits for the year.	1	Current	Yes	27			
27	Architecture	The system shall validate US Postal Service format for addresses (including foreign addresses) contained in system records.	1	Current	Yes	28			
28	Architecture	The system shall enable automatically validating each address contained in licensing system records.	1	Current	Yes	29			
29	Architecture	The system shall provide a user-selectable list for the user to choose from if one zip code represents multiple counties, cities, or towns. County/city/town fields should auto populate based on zip code input and allow user override.	1	Current	Yes	30			
30	Architecture	The system shall produce documents with ID bar codes compatible with reader/scanner equipment.	1	Current	Yes	31			
31	Architecture	The system shall enable capture and verification of barcoded documents for record retrieval, routing and verification of authenticity of documents.	1	Current	Yes	32			
32	Architecture	The system shall create a license once a license application (new, renewal, or miscellaneous) is approved according to user-defined business rules.	1	Current	Yes	33			
33	Architecture	Each document ID bar code shall be of a quality that will allow an initial read success rate (bar code read immediately following printing) of 99.9 percent, verifiable during acceptance testing.	1	Current	Yes	34			
34	Architecture	The system shall produce replacement license documents that are visibly distinguishable from original license documents, according to business rules.	1	Current	Yes	35			
35	Architecture	The system shall provide users with Context-Sensitive Help for user capabilities provided by the system.	1	Current	Yes	36			
36	Architecture	The system shall enable users to search on available indexed help topics.	1	Current	Yes	37			
37	Architecture	The system shall enable authorized users to update the system help files. The help function shall provide the ability to include Smart Tips, Plain Text or html instructions, and video demonstrations.	1	Current	Yes	38			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
38	Architecture	The system shall enable authorized users to create, maintain, search, and view system Frequently Asked Questions (FAQs) and their answers.	1	Current	Yes	39			
39	Architecture	The system graphical user interface (GUI) shall support at a minimum the current versions of the browsers listed below using HTTPS protocol (port 443): <ul style="list-style-type: none"> <li>• Microsoft Browser.</li> <li>• Google Chrome.</li> <li>• Firefox.</li> <li>• Safari.</li> </ul>	1	Current	Yes	40			
40	Architecture	The system shall be capable of supporting the current versions of the following computer operating systems: <ul style="list-style-type: none"> <li>• Microsoft Windows.</li> <li>• Apple iOS.</li> <li>• Google Android.</li> </ul>	1	Current	Yes	41			
41	Architecture	Wherever applicable, the system shall provide pick lists and /or multi-pick lists instead of text entry. Pick lists shall not force a refresh of the screen after selection.	1	Current	Yes	42			
42	Architecture	The system shall enable authorized users to maintain and manage all pick lists within the system.	1	Current	Yes	43			
43	Architecture	The system shall enable users to enter multiple characters to select a specific choice from a pick list. For example they should be able to enter "Mem" to get to Memphis rather than typing M several times to move through list to Memphis.	1	Current	Yes	44			
44	Architecture	The system shall enable assigning the current date as a configuration option in date fields.	1	Current	Yes	45			
45	Architecture	The system shall enable authorized users to change dates, as guided by the business rules.	1	Current	Yes	46			
46	Architecture	The system shall provide a graphical calendar object to select from (as an option) when entering or changing dates.	2	Current	Yes	47			
47	Architecture	The system shall enable recording the time associated with all applicable date fields, where appropriate.	1	Current	Yes	48			
48	Architecture	The system shall enable authorized users to modify the system terminology (for example, titles and labels).	1	Current	Yes	49			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
49	Architecture	The system shall enable users to enter, view, edit and convert all measurements in either Metric or US Customary units, storing both values in the record according to business rules.	2	Current	Yes	50			
50	Architecture	The system shall enable an authorized user to define a maximum image file size according to business rules.	1	Current	Yes	51			
51	Architecture	The system shall enable users to view multiple system screens simultaneously while maintaining data and session integrity.	1	Current	Yes	52			
52	Architecture	The system shall enable users to spell check note fields against a custom dictionary.	1	Current	Yes	53			
53	Architecture	The system shall enable users to manage entries in the custom dictionary.	2	Current	Yes	54			
54	Architecture	The system will enable authorized users to create, modify and delete hyperlinks to internal and external documents, records, files or sites.	1	Current	Yes	55			
55	Architecture	The system shall allow the users to modify the screen size and associated data font of any menu without the need to modify the workstation screen resolution.	2	Current	Yes	56			
56	Architecture	The system should comply with the respective state Directory Service Specifications.	1	Current	Yes	57			
57	Architecture	The system shall be Criminal Justice Information Systems (CJIS) and 508c Compliant where appropriate.	1	Current	Yes	58			
58	Architecture	The system shall not permit audit records to be physically deleted or altered, except as part of a system administration archival process.	1	Current	Yes	59			
59	Architecture	The system shall enable users to access system capabilities based on their role.	1	Current	Yes	60			
60	Architecture	The system shall enable restricting read and edit access to information based on user identity, role, and information type.	1	Current	Yes	61			
61	Architecture	The system shall enable authorized users to administer users, logs, reports and configurations	1	Current	Yes	62			
62	Architecture	The system shall enable authorized users to assign multiple individuals to a role.	1	Current	Yes	63			
63	Architecture	The system shall enable authorized users to manage users assigned to a role.	1	Current	Yes	64			
64	Architecture	The system shall enable authorized users to create, activate, modify, or deactivate user for an unlimited number of roles.	1	Current	Yes	65			
65	Architecture	The system shall enable restricting access to selected features by user identity and user role.	1	Current	Yes	66			



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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
66	Architecture	The system shall enable assigning a unique identifier for identifying and tracking user identity.	1	Current	Yes	67			
67	Architecture	The system shall enable authorized users to identify and report inactive user accounts.	1	Current	Yes	68			
68	Architecture	The system shall enable authorized users to define standard "user profiles" from which individual user IDs may inherit privileges and roles.	1	Current	Yes	69			
69	Architecture	The system shall enable authorized users to add license types and attributes via configuration tables and without having to update programming code or compiling any software.	1	Current	Yes	70			
70	Architecture	The system shall record the user name, date, and time of configuration changes made to the system.	1	Current	Yes	71			
71	Architecture	The system shall enable authorized users to create and maintain lists to be used as predefined selectable drop-down lists, radio buttons and "lookup" tables.	1	Current	Yes	72			
72	Architecture	The system shall enable authorized users to configure the properties, format, and display of data elements.	1	Current	Yes	73			
73	Architecture	The system shall enable authorized users to configure error messages and on-line help text.	1	Current	Yes	74			
74	Architecture	The system shall enable authorized users to enter and maintain data validation rules.	1	Current	Yes	75			
75	Architecture	The system shall enable authorized users to define data dependencies.	1	Current	Yes	76			
76	Architecture	The system shall enable the scheduling, manual initiation, and control of all batch processes.	1	Current	Yes	77			
77	Architecture	The system shall report batch processing results (success, failure) for each batch job.	1	Current	Yes	78			
78	Architecture	The system shall evaluate license information against user-specified status conditions and update license status information according to business rules.	1	Current	Yes	79			
79	Architecture	The system shall enable batch processing of (electronic and paper) notifications to external users whose license status changed.	1	Current	Yes	80			
80	Architecture	The system shall enable an authorized user to define and maintain status conditions for each license type.	1	Current	Yes	81			
81	Architecture	The system shall enable batch processing of license renewal applications and notices.	1	Current	Yes	82			
82	Architecture	The system shall enable batch processing for secure printing of licenses.	1	Current	Yes	83			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
83	Architecture	The system shall enable batch processing of information received from external sources and updating appropriate license records.	1	Current	Yes	84			
84	Architecture	The system shall enable batch processing of user-configured mass e-mailings.	1	Current	Yes	85			
85	Architecture	The system shall maintain a complete history of all batch jobs.	1	Current	Yes	86			
86	Architecture	The system shall allow for nontechnical users to create extracts of data (according to business rules) in CSV and other formats for uses such as but not limited to transmitting to external entities and direct mailings.	1	Current	Yes	87			
87	Architecture	The system shall allow for authorized users to develop import procedures so that data from external entities can be used to update license records.	1	Current	Yes	88			
88	Architecture	The system shall provide the ability to fully integrate with email software such as Microsoft Outlook, API standards.	1	Current	Yes	89			
89	Architecture	The system shall be compliant with de facto open standards such as but not limited to MAPI, SNMP, and FTP.	1	Current	Yes	90			
90	Architecture	The system shall enable the transmission of license application data to the licensing entity.	1	Current	Yes	91			
91	Architecture	The system shall verify that the entity name provided is properly registered with the state.	1	Current	Yes	92			
92	Architecture	The system shall provide the ability to perform secure file transfers using a file transfer method such as SFTP, FTPS, SSH etc.	1	Current	Yes	93			
93	Architecture	The system shall implement load balancing and failover for redundancy and performance.	1	Current	Yes	95			
94	Architecture	The system shall enable remote monitoring of the application by an authorized user.	1	Current	Yes	96			
95	Architecture	The system shall display a warning to all users if the browser does not meet the minimum technical requirements to display and utilize the application.	1	Current	Yes	97			
96	Architecture	The system shall enable authorized users to add or update values in parameter lists.	1	Current	Yes	98			
97	Architecture	The system shall be compatible with the current supported version of the chosen database platforms.	1	Current	Yes	99			
98	Architecture	The system shall, on the configured date, delete or archive license information by type.	1	Current	Yes	100			
99	Architecture	The system shall enable authorized users to restore archived license information.	1	Current	Yes	101			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
100	Architecture	The system shall enable an authorized user to create new license/complaint types, license/complaint process workflows, and modify existing license/complaint types to reflect business rules.	1	Current	Yes	103			
101	Architecture	The system shall enable flagging a transaction to identify activities that require special handling (review by supervisor or another section).	1	Current	Yes	104			
102	Architecture	The system shall enable sorting, filtering, and viewing licenses by business unit.	1	Current	Yes	105			
103	Architecture	The system shall enable combining licenses according to business rules.	1	Current	Yes	106			
104	Architecture	The unique external user identifier shall be used to integrate all data related to that external user across all license types.	1	Current	Yes	107			
105	Architecture	The system shall provide the ability to support internal and external feeds of data using common available protocols (e.g., IEEE-488).	1	Current	Yes	108			
106	Architecture	The system shall provide the ability to transmit the exported data through multiple methods (e.g., FTP, web service, single and batch transactional (e.g., ICON)).	1	Current	Yes	109			
107	Architecture	The system shall have the ability to provide remote interfacing and interoperability with all remote offices and telecommuters.	1	Current	Yes	110			
108	Architecture	The system shall provide the ability to generate and execute scripts to import and export data in multiple formats.	1	Current	Yes	111			
109	Architecture	The system shall provide the ability to present an error list for failed data imports and exports.	1	Current	Yes	112			
110	Architecture	The system shall provide the ability to report on interface transmissions (e.g., total number of records loaded, date of interface transmission, amount of time to execute the interface transmission, errors, and failures).	1	Current	Yes	113			
111	Architecture	The system shall provide the ability to restart an interface transmission from a specific point (e.g., restart at failed record, restart from beginning).	1	Current	Yes	114			
112	Architecture	The system shall support access from multiple locations to include all department offices as well as telecommuters.	1	Current	Yes	115			
113	Architecture	The system shall integrate with inbound and outbound email technology.	1	Current	Yes	116			
114	Architecture	The system shall integrate with inbound and outbound fax technology.	1	Current	Yes	117			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
115	Architecture	The system shall provide integrated error and exception handling capabilities.	1	Current	Yes	118			
116	Architecture	The system shall provide the ability to integrate with third-party applications (e.g., Esri ArcGIS, Hyland OnBase, CRM solutions, Address Validation solutions, Master Data Management solutions, Microsoft Office, Adobe Acrobat, etc.).	1	Current	Yes	119			
117	Architecture	The system will provide the capability to create and maintain program types and fund codes (along with associated business rules) without programming modifications.	1	Current	Yes	120			
118	Architecture	The system shall provide the ability, where appropriate, to maintain administrator-defined parameters to drive business functionality. Modifications to parameter values shall not require programming changes.	1	Current	Yes	121			
119	Architecture	The system shall provide the ability to establish and maintain parameters to be maintained locally within each business unit.	1	Current	Yes	122			
120	Architecture	The system shall provide the ability for an authorized user to create, modify, and delete look-up values including both codes and code values.	1	Current	Yes	123			
121	Architecture	The system shall provide a mechanism for authorized users to securely access needed system functionality offsite to support work events away from the office.	1	Current	Yes	124			
122	Architecture	The system shall provide the ability to "roll back" non-committed transactions in the event of a system failure.	1	Current	Yes	125			
123	Architecture	The system shall support presenting links to external websites.	1	Current	Yes	126			
124	Architecture	The system shall provide the ability to deploy new functionality to the system, without impacting existing non-related functionality.	1	Current	Yes	127			
125	Architecture	The system shall be architected to ensure the failure of any end user devices, including workstations or printers, does not impact the operation or performance of other devices.	1	Current	Yes	128			
126	Architecture	The system shall provide the ability to communicate with parties in accordance with the preferred method (e.g., email notifications, fax, paper) identified by users.	1	Current	Yes	129			
127	Architecture	The system shall provide a capability to allow specific authorized users to maintain holidays, weekends, and working hours.	1	Current	Yes	130			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
128	Architecture	The system shall provide a capability to disseminate notices in accordance with user-defined communication preferences.	1	Current	Yes	131			
129	Architecture	The system shall provide access to the business area databases during emergency responses to support ESF11 and ESF17.	1	Current	Yes	132			
130	Architecture	The system shall have a web application to show the availability of real-time lease areas given the discrepancy between the supply and demand of parcels.	1	Current	Yes	133			
131	Architecture	The system shall provide access to the divisions' databases to better control lease distribution and to see the level of compliance the division is following.	1	Current	Yes	134			
132	Architecture	The system shall provide tutorials on how to correctly complete the application process in order to reduce the amount of errors and deficiencies.	1	Current	Yes	135			
133	Architecture	The system shall have geo-spatial mapping capability.	1	Current	Yes	136			
134		The system shall allow a user to identify a location and define both distance and unit parameters by which other locations within the defined distance are identified.	1	Current	Yes	137			
135	Architecture	The system shall provide front-end verification of Best Managed Practice (BMPs) Implementation in their field data collection abilities.	2	Current	Yes	138			
136	Architecture	The system shall consolidate and automate all of the paper inspection guides onto a mobile application.	1	Current	Yes	140			
137	Architecture	The system shall enable printing of documents, licenses, mailing labels, letters and other printed output on department-defined media.	1	Current	Yes	141			
138	Architecture	The system shall enable downloading a printable view of (blank, completed or partially completed) on-line forms.	1	Current	Yes	142			
139	Architecture	The system shall enable printing of reports, documents, licenses, tags, ID cards, labels and transmittals by authorized users on specified printers without requiring additional steps or tasks such as sealing or trimming. Documents to be printed may range from but are not limited to 1x3 inch, credit-card size to legal size. Documents may contain detachable components.	1	Current	Yes	143			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
140	Architecture	The system shall allow the external user to print licenses through the portal per business rules.	1	Current	Yes	144			
141	Architecture	The system shall have the ability to adjust its internal clock and all timestamps to reflect time changes from Daylight Savings Time to Standard Time and from Standard Time to Daylight Savings Time.	1	Current	Yes	145			
142	Business Rules Engine	The system shall provide authorized users with a management solution that is driven by business rules, that is flexible, that has a table-driven architecture, and that is capable of adding, changing, or deleting business rules for both licenses and sales items (non-licenses) and related parameters.	1	Current	Yes	146			
143	Business Rules Engine	The system shall enable an authorized user to create new license types, license process workflows, and modify existing license types to reflect business rules.	1	Current	Yes	147			
144	Business Rules Engine	The system shall enable an authorized user to configure the application evaluation process for each license type per business rules.	1	Current	Yes	148			
145	Business Rules Engine	The system shall enable the synchronization or customization of license expiration dates for licenses based on business rules.	1	Current	Yes	149			
146	Business Rules Engine	The system shall generate a unique license number of a selectable fixed or variable length for each license based on user defined parameters and business rules.	1	Current	Yes	150			
147	Business Rules Engine	The system shall allow for recording and managing license periods in discrete units of time including start and end dates. This is separate from extending license expiration dates. Each discrete license period should be managed, updatable and viewed as a separate licensing time event.	1	Current	Yes	151			
148	Business Rules Engine	The system shall enable capturing, storing and maintaining (adding, modifying, deleting) criteria (questions or menus) for determining which FDACS license(s) are required for a given business category.	1	Current	Yes	152			
149	Business Rules Engine	The system shall calculate the license effective date and expiration date based on user-defined data such as the date of license approval. Calculation formulas should allow for rules-based variability.	1	Current	Yes	153			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
150	Business Rules Engine	The system shall provide the ability to establish license periods with future dates according to business rules. Business rules should allow for flexibility and variability in establishing alternative valid terms of licenses.	1	Current	Yes	154			
151	Business Rules Engine	The system must be capable of distinguishing, issuing and processing the same license type for different license periods at the same time. For example, the 2015 license can be issued before the 2014 license expires.	1	Current	Yes	155			
152	Business Rules Engine	The system shall allow, when a license is issued within a certain number of days before the end of a licensing period, the license(s) to cover the remaining period plus the following full period according to business rules.	1	Current	Yes	156			
153	Business Rules Engine	The system shall enable capturing, storing and maintaining (adding, modifying, deleting) license information about each license type including, but not limited to: <ul style="list-style-type: none"> <li>• License ID,</li> <li>• Business Unit Name,</li> <li>• Agency Code,</li> <li>• License Name,</li> <li>• License Description,</li> <li>• Application Form Name,</li> <li>• Application Form Number and Date,</li> <li>• Link to a downloadable application form, and</li> <li>• Link to the online application form.</li> </ul>	1	Current	Yes	157			
154	Business Rules Engine	The system shall enable capturing, storing and maintaining (adding, modifying, deleting) authority information about each license type including, but not limited to: <ul style="list-style-type: none"> <li>• Statutory Authority,</li> <li>• Regulatory Authority,</li> <li>• Federal Authority, and</li> <li>• Category of Business regulated by the license.</li> </ul>	1	Current	Yes	158			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
155	Business Rules Engine	The system shall enable capturing, storing and maintaining (adding, modifying, deleting) fees and requirements information about each license type including, but not limited to: <ul style="list-style-type: none"> <li>• Description of fees (fee type, fee amount, returnable),</li> <li>• Fee Payment Options,</li> <li>• Additional required documentation,</li> <li>• Supplemental licenses,</li> <li>• Special requirements,</li> <li>• Additional information,</li> <li>• Comments,</li> <li>• Year of Availability,</li> <li>• Replacement Parameters.</li> </ul>	1	Current	Yes	159			
156	Business Rules Engine	The system shall enable capturing, storing and maintaining (adding, modifying, deleting) configuration information for each license type including, but not limited to: <ul style="list-style-type: none"> <li>• Email addresses,</li> <li>• Forms,</li> <li>• Status updates.</li> </ul>	1	Current	Yes	160			
157	Business Rules Engine	The system shall allow entry of pending applications based on business rules. (ex: Business Plans submitted for approval prior to application being submitted.)	1	Current	Yes	161			
158	Business Rules Engine	The system shall enable an authorized user to define license renewal rules for each license type including: <ul style="list-style-type: none"> <li>• Time period that the license is valid for.</li> <li>• Time period prior to expiration date to trigger renewal notifications.</li> <li>• Time period that the application is available to the external user.</li> <li>• Renewal limits. (For some license types - such as limited licenses - there is a limit on how many times the license can be renewed.) e.g. special occasion.</li> </ul>	1	Current	Yes	162			
159	Business Rules Engine	The system should enable ability for an authorized user to extend the renewal process time in accordance with business rules.	1	Current	Yes	163			
160	Business Rules Engine	The system shall enable an external user to renew a license in advance.	1	Current	Yes	164			
161	Business Rules Engine	The system shall enable expiration of renewal applications left open after a specified period of time as defined according to business rules.	1	Current	Yes	165			



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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
162	Business Rules Engine	The system shall verify eligibility for renewal based on defined rules (e.g., holds, alerts, statuses, enforcement rules, continuing education, etc.)	1	Current	Yes	166			
163	Business Rules Engine	The system shall allow authorized users to reactivate a license according to business rules for specific period of time.	1	Current	Yes	167			
164	Business Rules Engine	The system should allow online issuance based on business rules.	1	Current	Yes	168			
165	Business Rules Engine	The system shall provide the ability to both automatically or manually update license status, effective date and expiration date upon approval of initial or renewal applications based on business rules.	1	Current	Yes	169			
166	Business Rules Engine	The system shall allow a single external user to have more than one related license.	1	Current	Yes	170			
167	Business Rules Engine	The system shall support multiple license relationships between parent and subordinate license types, allowing parent external users to act on behalf of related subordinate licenses.	1	Current	Yes	171			
168	Business Rules Engine	For business entity applications requiring that specific individuals are licensed, the system shall validate the licenses are registered and in good standing, if the external users are part of the system.	1	Current	Yes	172			
169	Business Rules Engine	The system shall allow for the processing of "NO FEE" or free transactions based on business rules.	1	Current	Yes	173			
170	Business Rules Engine	The system shall automatically place a "HOLD" on records associated with a bad payment and automatically release when payment is satisfied.	1	Current	Yes	174			
171	Business Rules Engine	The system shall prevent modifying final inspection reports based on business rules.	1	Current	Yes	175			
172	Business Rules Engine	The system shall enable escalation of inspections requiring further investigation or actions based on business rules.	1	Current	Yes	176			
173	Business Rules Engine	The system shall enable automated review and approval of inspection information, based on inspection data, business rules, and license type.	1	Current	Yes	177			
174	Business Rules Engine	The system shall enable scheduling, assigning and tracking of enforcement activities based on business rules.	1	Current	Yes	178			
175	Business Rules Engine	The system shall enable applying unique fee formulas for each fee assessment according to business rules.	1	Current	Yes	179			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
176	Business Rules Engine	The system shall restrict users from continuing until all required information is entered according to business rules.	1	Current	Yes	180			
177	Business Rules Engine	The system shall track which license types require an examination, what classes are required, class eligibility requirements, and the pass criteria (passing grade or pass/fail), and (if specified) the time period in which all class or sections shall be passed.	1	Current	Yes	181			
178	Business Rules Engine	The system shall enable an authorized user to adjust (or provide exemption) of continuing education requirements on an individual basis.	1	Current	Yes	182			
179	Business Rules Engine	The system shall validate org code, EO, and object code against the state accounting system.	1	Current	Yes	183			
180	Business Rules Engine	The system shall assign a unique tracking number to each transaction, and associate each transaction with a particular application or existing license type.	1	Current	Yes	184			
181	Business Rules Engine	The system shall provide a capability to prioritize applications either with or without user intervention.	1	Current	Yes	185			
182	Business Rules Engine	The system shall provide a capability to maintain a configurable timeframe to include an application in a review process.	1	Current	Yes	186			
183	Business Rules Engine	The system shall provide a capability to exempt an application from inclusion in an eligibility review process.	1	Current	Yes	187			
184	Business Rules Engine	The system shall provide a capability to notify the user in an administrator configurable number of days when no response has been received from a third party.	1	Current	Yes	188			
185	Business Rules Engine	The system shall provide a capability for a system administrator to define application intake requirements.	1	Current	Yes	189			
186	Business Rules Engine	The system shall provide a capability to determine if an external user meets the eligibility requirements to file an application in Florida.	1	Current	Yes	190			
187	Business Rules Engine	The system shall provide a capability to determine the questions required to assess benefit eligibility based upon administrator configurable business rules.	1	Current	Yes	191			
188	Correspondence & Forms	The system shall provide a capability to allow external users and authorized third-parties to opt for electronic communication.	1	Current	Yes	192			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
189	Correspondence & Forms	The system should support both external user based forms or authorized user based forms. External user based forms are forms that are license centric (i.e., inspection, violation, etc.). User based forms are authorized user centric (mileage log, activity report, etc.).	1	Current	Yes	193			
190	Correspondence & Forms	All forms should support conditional questions based on database values.	1	Current	Yes	194			
191	Correspondence & Forms	Form data collection types should include: <ul style="list-style-type: none"> <li>• Checkbox;</li> <li>• Preloaded drop list;</li> <li>• Text;</li> <li>• Signature capture;</li> <li>• Photo capture;</li> <li>• Multi-select drop downs (list of values);</li> <li>• Barcode scanning;</li> <li>• Fingerprints;</li> <li>• Handprint;</li> <li>• Photo capture; and,</li> <li>• Optical Character Recognition(OCR).</li> </ul>	1	Current	Yes	195			
192	Correspondence & Forms	The system shall automatically generate a renewal notice for each license according to business rules.	1	Current	Yes	196			
193	Correspondence & Forms	The system shall prepopulate associated license information on renewal notices in a format that includes lists of multiple license renewals according to business rules.	1	Current	Yes	197			
194	Correspondence & Forms	The system shall enable generating a single renewal notice and associated tabular report for an external user that has multiple licenses due for renewal, based on business rules.	1	Current	Yes	198			
195	Correspondence & Forms	The system shall generate additional renewal notices at user-defined time periods, if a renewal application is not entered or received within the time period.	1	Current	Yes	199			
196	Correspondence & Forms	The system shall generate a delinquent notice if a renewal application is not entered or received within the user-defined time period.	1	Current	Yes	200			
197	Correspondence & Forms	The system shall inactivate licenses and generate appropriate notifications for licenses that are beyond a user-specified time period after expiration.	1	Current	Yes	201			
198	Correspondence & Forms	The system shall enable generating an invoice for license fees according to business rules.	1	Current	Yes	202			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
199	Correspondence & Forms	The system shall automatically issue and store electronic transaction receipt to the external user.	1	Current	Yes	203			
200	Correspondence & Forms	The system shall provide electronic receipts for external users containing external user information, user ID, items purchased, date and time purchased, cost for each item, and total cost.	1	Current	Yes	204			
201	Correspondence & Forms	All licenses printed via Internet purchases shall include the same information that would be printed in an authorized FDACS location.	1	Current	Yes	205			
202	Correspondence & Forms	The system shall enable users to retrieve existing license information for inclusion on the complaint form.	1	Current	Yes	206			
203	Correspondence & Forms	The system shall enable associating related complaints to each other. For example, associating complaints by complainant, address, program areas or external user.	1	Current	Yes	207			
204	Correspondence & Forms	The system shall enable users to submit an online complaint and routed per business rules.	1	Current	Yes	208			
205	Correspondence & Forms	The system shall automatically generate communications at user specified milestone and preferences.	1	Current	Yes	209			
206	Correspondence & Forms	The system shall generate and send reminders of actions needed to designated system users.	1	Current	Yes	210			
207	Correspondence & Forms	The workflow system shall automatically generate email at user-specified milestones.	1	Current	Yes	211			
208	Correspondence & Forms	The system shall enable users to configure rules-based automated notifications including, but not limited to: • System alerts (e.g., pop-up windows), • Automatically generated notifications with variable narrative or appropriate web links.	1	Current	Yes	212			
209	Correspondence & Forms	The system shall provide the ability to generate correspondence and populate appropriate fields with data from the database record for purposes such as correspondence documenting application deficiencies and issues relating to application review and eligibility determination as well as all correspondence to applicants and licensees documenting a legal action in response to a licensing-related violation (license denials, suspensions, revocations, administrative complaints, final orders, amended final orders, notices of insufficient petition, etc.).	1	Current	Yes	213			
210	Correspondence & Forms	The system shall enable an authorized user to create standard form letters for generating an unlimited number of correspondence types.	1	Current	Yes	214			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
211	Correspondence & Forms	The system shall enable sending notifications to external users whose preferred method of notification is electronic.	1	Current	Yes	215			
212	Correspondence & Forms	The system shall retain a history of all letters and notices generated.	1	Current	Yes	216			
213	Correspondence & Forms	The system shall indicate the status of a correspondence including whether the item has been sent or not and whether the item is in draft or final state.	1	Current	Yes	217			
214	Correspondence & Forms	The system shall enable authorized users to modify notification content (both system generated and manually generated).	1	Current	Yes	218			
215	Correspondence & Forms	The system shall generate electronic correspondence in an open format.	1	Current	Yes	219			
216	Correspondence & Forms	Each correspondence item within the system shall have a unique identifier.	1	Current	Yes	220			
217	Correspondence & Forms	The date the incoming correspondence was received shall be captured for each correspondence item.	1	Current	Yes	221			
218	Correspondence & Forms	The date the outgoing correspondence or notification was sent shall be captured for each correspondence item.	1	Current	Yes	222			
219	Correspondence & Forms	The system shall provide the ability to store, retrieve and resend one or many correspondence items (both system generated and non-system generated correspondence).	1	Current	Yes	223			
220	Correspondence & Forms	The system shall enable viewing of retrieved correspondence by both internal and external users based on user-defined business rules.	1	Current	Yes	224			
221	Correspondence & Forms	The system shall enable generating correspondence as printed letters or a variety of electronic media in accordance with business rules.	1	Current	Yes	225			
222	Correspondence & Forms	The system shall provide the ability to produce envelope printing options, and/or electronic files (email) for mass mailings.	1	Current	Yes	226			
223	Correspondence & Forms	The method of correspondence shall be maintained for each correspondence item.	1	Current	Yes	227			
224	Correspondence & Forms	Remarks applicable to the correspondence shall be maintained for each correspondence item.	1	Current	Yes	228			
225	Correspondence & Forms	The system shall automatically capture the date and user id at the time any comment is added to any correspondence records.	1	Current	Yes	229			
226	Correspondence & Forms	The system shall enable viewing a list of created correspondence not yet sent.	1	Current	Yes	230			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
227	Correspondence & Forms	The system shall enable viewing a list of all items of correspondence that still require action.	1	Current	Yes	231			
228	Correspondence & Forms	The system shall include a unique identifier and, if appropriate, the license number on all alerts or messages sent utilizing a distribution list.	1	Current	Yes	232			
229	Correspondence & Forms	The system shall enable authorized users to modify notification or correspondence content.	1	Current	Yes	233			
230	Correspondence & Forms	The system shall enable authorized users to search for and display any correspondence item.	1	Current	Yes	234			
231	Correspondence & Forms	The system shall provide the ability to respond to a public records request per business rules. This ability includes full redaction/deletion functionality.	1	Current	Yes	235			
232	Correspondence & Forms	The system shall enable authorized users to update contact information.	1	Current	Yes	236			
233	Correspondence & Forms	The system shall have the ability to create or update correspondence templates for use in the development of correspondence.	1	Current	Yes	237			
234	Correspondence & Forms	The system shall utilize approved correspondence templates for use in the development of correspondence.	1	Current	Yes	238			
235	Correspondence & Forms	The system shall pre-populate correspondence variables based upon template definition.	1	Current	Yes	239			
236	Correspondence & Forms	The system shall provide the capability to perform spelling and grammatical checks on correspondence.	1	Current	Yes	240			
237	Correspondence & Forms	The system shall retrieve and replace variable text for unpublished correspondence when the correspondence is reopened for additional editing and/or when the user makes a request to refresh variable data.	1	Current	Yes	241			
238	Correspondence & Forms	The system shall support the ability to enter free-form text into correspondence.	1	Current	Yes	242			
239	Correspondence & Forms	The systems shall support WYSIWYG editing of the correspondence.	1	Current	Yes	243			
240	Correspondence & Forms	The system shall increment draft version and update summary data when correspondence is saved.	1	Current	Yes	244			
241	Correspondence & Forms	The system shall provide a mechanism for draft correspondence to be reviewed and approved before publishing.	1	Current	Yes	245			
242	Correspondence & Forms	The system shall include a unique identifier on all correspondence that is published.	1	Current	Yes	246			
243	Correspondence & Forms	The system shall store published correspondence in non-editable format (e.g., .pdf).	1	Current	Yes	247			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
244	Correspondence & Forms	The system shall associate all published correspondence with the appropriate business unit and make it available on-line.	1	Current	Yes	248			
245	Correspondence & Forms	The system shall provide a date-time stamp on all published correspondence.	1	Current	Yes	249			
246	Correspondence & Forms	The system shall provide the capability for a user to override the system generated date-time stamp.	1	Current	Yes	250			
247	Correspondence & Forms	The system shall support the ability to electronically sign the correspondence.	1	Current	Yes	251			
248	Correspondence & Forms	The system shall provide the capability to attach existing images/correspondence to new correspondence.	1	Current	Yes	252			
249	Correspondence & Forms	The system shall maintain historical summary level information about the correspondence (e.g., status, routing, creation/update, version)	1	Current	Yes	253			
250	Correspondence & Forms	The system shall provide the capability to distribute the correspondence via the external user's preferred method of communication.	1	Current	Yes	254			
251	Correspondence & Forms	The system shall provide the capability to notify an external user when new correspondence is available for review.	1	Current	Yes	255			
252	Correspondence & Forms	The system shall log whether correspondence distribution succeeded, if possible. (e.g. was the email, fax sent?)	1	Current	Yes	256			
253	Correspondence & Forms	The system shall have capability per the business rules to log and view online correspondence by external users including date/time viewed.	1	Current	Yes	257			
254	Correspondence & Forms	The system shall maintain timers and monitor date sensitive information based upon the time of distribution of the correspondence, as well as other events.	1	Current	Yes	258			
255	Correspondence & Forms	The system shall provide a capability to develop and publish correspondence to multiple recipients within a defined business process (e.g., not developed one recipient at a time)	1	Current	Yes	259			
256	Correspondence & Forms	The system shall have the ability to produce and send corrected correspondence.	1	Current	Yes	260			
257	Correspondence & Forms	The system shall prevent the update of published correspondence.	1	Current	Yes	261			
258	Correspondence & Forms	The system shall support the re-printing of published correspondence.	1	Current	Yes	262			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
259	Correspondence & Forms	The system shall support the ability to manually and automatically resend correspondence if a system failure occurs before or during distribution (e.g., smtp failure, internet connection failure, etc.)	1	Current	Yes	263			
260	Correspondence & Forms	The system shall support portrait and landscape page orientation for correspondence.	1	Current	Yes	264			
261	Correspondence & Forms	The system shall support the ability to print correspondence on multiple pages with appropriate page breaks.	1	Current	Yes	265			
262	Correspondence & Forms	The system shall support the ability to print one or more pieces of correspondence without viewing the documents.	1	Current	Yes	266			
263	Correspondence & Forms	The system shall support the printing of correspondence locally.	1	Current	Yes	267			
264	Correspondence & Forms	The system shall support the printing of correspondence in batch at a central location.	1	Current	Yes	268			
265	Correspondence & Forms	The system shall support the cleansing of data to meet current U.S.P.S. regulations and standards.	1	Current	Yes	269			
266	Correspondence & Forms	The system shall support the maintenance of correspondence outside of a workflow (business process) where adhoc generation/maintenance of correspondence may occur.	1	Current	Yes	270			
267	Correspondence & Forms	The system shall support the ability to specify archive rules according to retention policies.	1	Current	Yes	271			
268	Correspondence & Forms	The system shall support the ability to perform a keyword search on the content of correspondence.	1	Current	Yes	272			
269	Correspondence & Forms	The system shall support the ability to search for correspondence based upon defined search criteria.	1	Current	Yes	273			
270	Correspondence & Forms	The system shall support the ability to sort and filter on search results for correspondence and correspondence templates.	1	Current	Yes	274			
271	CRM & IVR	The system shall have case management, personnel data management, and work resource management features.	1	Current	Yes	276			
272	CRM & IVR	The system shall have a unified complaint coding and tracking system across all of the divisions that allows for both a seamless transfer of complaints to the appropriate division and a business complaint search query.	1	Current	Yes	277			
273	CRM & IVR	The system shall integrate with inbound and outbound Integrated Voice Response (IVR) technology.	1	Current	Yes	278			



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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
274	CRM & IVR	The system shall enable capturing and storing information about telephone interaction with external users.	1	Current	Yes	279			
275	CRM & IVR	The system shall enable tracking and reporting calls by various fields, including but not limited to: <ul style="list-style-type: none"> <li>• Free form notes that can be tied to the external user at any desired level (e.g. general, license, application),</li> <li>• Dates,</li> <li>• Zip or postal code,</li> <li>• County,</li> <li>• external user Name,</li> <li>• Business Model, and</li> <li>• License type.</li> </ul>	1	Current	Yes	280			
276	CRM & IVR	The system shall provide the ability to record IVR delivered information into a call record.	1	Current	Yes	281			
277	CRM & IVR	The system shall provide the ability to record user entered information into a call record.	1	Current	Yes	282			
278	CRM & IVR	The system shall provide the ability to automatically populate fields based on delivered information from the IVR.	1	Current	Yes	283			
279	CRM & IVR	The system shall provide the ability to support multiple templates for different call types.	1	Current	Yes	284			
280	CRM & IVR	The system shall provide the ability for a user to monitor the status of a call record.	1	Current	Yes	285			
281	CRM & IVR	The system shall provide the ability to support customization of call record templates.	1	Current	Yes	286			
282	CRM & IVR	The system shall provide the ability to consolidate and record all contact activity associated with an external user.	1	Current	Yes	287			
283	CRM & IVR	The system shall provide the ability to assign a unique call record number.	1	Current	Yes	288			
284	CRM & IVR	The system shall provide the ability to display customizable lists or menus for field completion.	1	Current	Yes	289			
285	CRM & IVR	The system shall provide the ability to add notes from a standard call record template of predefined notes.	1	Current	Yes	290			
286	CRM & IVR	The system shall provide the ability to edit notes selected from the standard call record template of predefined notes.	1	Current	Yes	291			
287	CRM & IVR	The system shall support assignment of status to a call record.	1	Current	Yes	292			
288	CRM & IVR	The system shall support assignment of due date and time.	1	Current	Yes	293			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
289	CRM & IVR	The system shall provide the ability to create a call record history of all actions against a call record.	1	Current	Yes	294			
290	CRM & IVR	The system shall provide the ability to manually hand-off a call record to another user.	1	Current	Yes	295			
291	CRM & IVR	The system shall provide the ability to manually assign a call record to a specific user.	1	Current	Yes	296			
292	CRM & IVR	The system shall provide the ability to suspend a call record for a predetermined period of time.	1	Current	Yes	297			
293	CRM & IVR	The system shall support the ability to link a call record to other call records regardless of status.	1	Current	Yes	298			
294	CRM & IVR	The system shall provide the ability for users to search, view and sort workload at any time based on any combination of call record status, date/time range or other call record fields.	1	Current	Yes	299			
295	CRM & IVR	The system shall provide the ability for a supervisor to monitor and sort, in real time, workload for any user or group at any time.	1	Current	Yes	300			
296	CRM & IVR	The system shall provide the ability to historically search and report on call records based on status, user, group, external user, entity, outcomes, date/time or any other call record field.	1	Current	Yes	301			
297	CRM & IVR	The system shall support the ability to reopen a call record that has been closed.	1	Current	Yes	302			
298	CRM & IVR	The system shall provide the ability to support call scripts within a call record dynamically generating a user interface designed to guide the user through the problem resolution process.	1	Current	Yes	303			
299	CRM & IVR	The system shall provide the ability to route calls based on caller entered digits or spoken choices (speech recognition).	1	Current	Yes	304			
300	CRM & IVR	The system shall provide the ability to manage multiple call centers as one virtual call center from a call handling and management perspective.	1	Current	Yes	305			
301	CRM & IVR	The system shall provide the ability to integrate with outsourced call center providers for the efficient routing and handling of calls. This requirement provides a capability in the event that the department has increased emergency call center activity that requires outsourced provider support.	1	Current	Yes	306			
302	CRM & IVR	The system shall provide the ability to route calls to back up call centers in the event of an emergency.	1	Current	Yes	307			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
303	CRM & IVR	The system shall provide the ability to provide the caller with an estimated wait time for queued calls.	1	Current	Yes	308			
304	CRM & IVR	The system shall provide the ability for a caller to leave a voice message.	1	Current	Yes	309			
305	CRM & IVR	The system shall provide the ability for authorized users to place outbound calls.	1	Current	Yes	310			
306	CRM & IVR	The system shall provide the ability for callers to request a call back and for these call backs to be automatically placed for handling by the call center.	1	Current	Yes	311			
307	CRM & IVR	The system shall provide a workforce management application for the forecasting of call volume and scheduling.	1	Current	Yes	312			
308	CRM & IVR	The system shall provide the ability to monitor calls in real time.	1	Current	Yes	313			
309	CRM & IVR	The system shall provide a call center quality application for the scoring of authorized user activities against quality standards.	1	Current	Yes	314			
310	CRM & IVR	The system shall provide the capability to record calls for later playback based on a sampling methodology and on demand by authorized users.	1	Current	Yes	315			
311	CRM & IVR	The system shall provide the ability to search and retrieve recorded calls.	1	Current	Yes	316			
312	CRM & IVR	The system shall provide the ability to export recorded calls to portable media devices.	1	Current	Yes	317			
313	CRM & IVR	The system shall provide the ability to record and save applications screens associated with recorded calls for quality purposes.	1	Current	Yes	318			
314	CRM & IVR	The system shall support the ability to report on call center activity in real time.	1	Current	Yes	319			
315	CRM & IVR	The system shall support the ability to report on historical call center activity based on user defined criteria.	1	Current	Yes	320			
316	CRM & IVR	The system shall provide an ad-hoc reporting writer for the call center that consolidates reporting across one or more call centers.	1	Current	Yes	321			
317	CRM & IVR	The system shall provide a capability to provide screen pops on the desktop appropriate to the external user based on digits captured from the network or the external user's keying using Computer Telephony Integration (CTI).	1	Current	Yes	322			
318	CRM & IVR	The system shall provide the capability to transfer the context of a call, including application screens, along with a transferred call.	1	Current	Yes	323			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
319	CRM & IVR	The system shall provide the ability to integrate the CRM application with CTI-delivered information.	1	Current	Yes	324			
320	CRM & IVR	The system shall provide the ability to manage large volumes of inbound and outbound e-mails with supporting desktop tools.	1	Current	Yes	325			
321	CRM & IVR	The system shall provide the ability to handle large volumes of inbound and outbound facsimiles from the desktop.	1	Current	Yes	326			
322	CRM & IVR	The system shall provide IVR capabilities including natural speech automated speech recognition and text to speech in all mandatory languages.	1	Current	Yes	327			
323	CRM & IVR	The system shall provide a full featured and easy to use graphical IVR scripting application.	1	Current	Yes	328			
324	CRM & IVR	The system shall provide the ability to easily record and update messages and prompts in all call center systems (on hold messages, IVR voice files, etc.)	1	Current	Yes	329			
325	CRM & IVR	The system shall support VoiceXML for voice application development.	1	Current	Yes	330			
326	CRM & IVR	The system shall provide an easy to use knowledgebase for the storage and retrieval of customer service related information.	1	Current	Yes	331			
327	CRM & IVR	The system shall provide the ability to route calls directly to authorized users at different sites, without any additional on-site equipment.	1	Current	Yes	332			
328	Database Architecture	The system shall be able to store historical data in the new database.	1	Current	Yes	333			
329	Database Architecture	The system shall be able to remotely synchronize the data/reports to the databases.	1	Current	Yes	334			
330	Database Architecture	The system shall provide database error checking, displaying database error descriptive warnings and error messages to the user.	1	Current	Yes	335			
331	Database Architecture	The system shall record database errors, warnings, and any processing result status.	1	Current	Yes	336			
332	Database Architecture	The system shall not dynamically create, drop, or alter tables, except 'temporary' tables.	1	Current	Yes	339			
333	Database Architecture	Installation and upgrades shall be provided through a managed installation process or scripts containing Data Definition Language (DDL) commands to create, alter, or drop database objects.	1	Current	Yes	340			
334	Database Architecture	The system shall be able to uniquely identify each user.	1	Current	Yes	341			
335	Database Architecture	Database access shall be managed by roles.	1	Current	Yes	342			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
336	Development And Support Services	The system shall allow for maintenance and support performance activities to be carried out while the application and supporting systems are on line (e.g., "Hot" backup procedures).	1	Current	Yes	350			
337	Development And Support Services	The system shall include tools for automated scheduling of system support events (e.g., data backup, external interface processing, batch processing).	1	Current	Yes	351			
338	Development And Support Services	The system shall include tools for comparing monitoring results against historical measures.	1	Current	Yes	352			
339	Development And Support Services	The system shall include tools for adding/maintaining configuration including the ability to use simple scripting to support business rules development.	1	Current	Yes	353			
340	Development And Support Services	The system shall include tools for monitoring and reporting capacity and performance for all system components.	1	Current	Yes	354			
341	Development And Support Services	The system shall include tools to allow remote system administration.	1	Current	Yes	355			
342	Development And Support Services	The system shall include tools to create and maintain online help content specific to the functionality accessed (e.g., data field information, business rules related to the functionality, general operation).	1	Current	Yes	356			
343	Development And Support Services	The system shall provide a mechanism for recording and viewing system errors and warnings.	1	Current	Yes	357			
344	Development And Support Services	The system shall provide a warning when definable performance and capacity thresholds are being approached.	1	Current	Yes	358			
345	Development And Support Services	The system shall provide a mechanism to notify the system administrator when definable performance and capacity thresholds are exceeded.	1	Current	Yes	359			
346	Development And Support Services	The system shall provide defined and documented procedures and processes to restart system components and recover and restore incomplete transactions.	1	Current	Yes	360			
347	Development And Support Services	The system shall provide the ability to alert appropriate users to system events (e.g., system status, maintenance outages, shutdown advisories).	1	Current	Yes	361			
348	Development And Support Services	The system shall provide the ability to assign a severity level to a system exception.	1	Current	Yes	362			
349	Development And Support Services	The system shall provide the ability to capture and report system exceptions.	1	Current	Yes	363			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
350	Development And Support Services	The system shall provide the ability to maintain metrics of system activity (e.g., numbers of, types of users, search statistics, response times, system recovery time).	1	Current	Yes	364			
351	Development And Support Services	The system shall provide the ability to track the reason for system failures.	1	Current	Yes	365			
352	Development And Support Services	The system shall support the centralized storage of business and technical metadata.	1	Current	Yes	366			
353	Disaster Recovery	The system shall provide full and incremental data backup and recovery capabilities.	1	Current	Yes	367			
354	Disaster Recovery	The system shall include recovery procedures for all backups taken.	1	Current	Yes	368			
355	Disaster Recovery	The system shall support, when recovery from the backup is being performed, restoration of data and services on a priority basis, such that priority data are accessible while the recovery is completed.	1	Current	Yes	369			
356	Disaster Recovery	The system shall be accompanied by a Disaster Recovery Plan that defines the activities that are to take place to manage the service in the event of a disaster leading to loss or potential loss of service.	1	Current	Yes	370			
357	Disaster Recovery	The system shall be accompanied by supporting processes and procedures for bringing the service back to normal operation following a catastrophic event, e.g. clearing message backlogs or resuming long running queries.	1	Current	Yes	371			
358	Disaster Recovery	The system shall ensure minimal data loss through the service in any event.	1	Current	Yes	372			
359	Disaster Recovery	The system shall include tools for system backups and restores (e.g., data backup, system configuration backup).	1	Current	Yes	373			
360	Disaster Recovery	The system shall include tools to allow a full system recovery in the event of a critical system failure.	1	Current	Yes	374			
361	Events And Scheduling	The system shall provide the ability to schedule events (e.g., appointments, reminders, notifications).	1	Current	Yes	376			
362	Events And Scheduling	The system shall provide the ability to associate comments with the scheduled events.	1	Current	Yes	377			
363	Events And Scheduling	The system shall provide the ability to associate a scheduled event with the appropriate system records (e.g., case record to an appointment).	1	Current	Yes	378			
364	Events And Scheduling	The system shall provide the ability to attach documentation to the scheduled appointment.	1	Current	Yes	379			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
365	Events And Scheduling	The system shall provide the ability to notify the user of a scheduled event based on user-defined criteria (e.g., reminder time, delivery mechanism).	1	Current	Yes	380			
366	Events And Scheduling	The system shall provide the ability to modify existing scheduled events (e.g., begin date, end date, frequency, business process specific information).	1	Current	Yes	381			
367	Events And Scheduling	The system shall provide the ability to maintain master copies of historical information related to scheduled events.	1	Current	Yes	382			
368	Events And Scheduling	The system shall provide the ability to maintain user-defined calendars for staff.	1	Current	Yes	383			
369	Events And Scheduling	The system shall provide management with the ability to view all related calendars.	1	Current	Yes	384			
370	Events And Scheduling	The system shall provide the ability to establish and maintain user-defined calendars and dates specific to business functionality (e.g., calendar for external user release).	1	Current	Yes	385			
371	Events And Scheduling	The system shall provide the ability to execute system events based on a user-configurable schedule.	1	Current	Yes	386			
372	Events And Scheduling	The system shall provide the ability to generate appointment confirmation notifications.	1	Current	Yes	387			
373	Integrated Imaging	The system shall enable associating supporting documents and images to a complaint record.	1	Current	Yes	388			
374	Integrated Imaging	The system shall provide document digital imaging functions that allow the user to view digital facsimiles of licenses, invoices, and other documents that are generated and associated with the system functions. The document digital imaging functions shall provide for easy duplicate printing of the selected document.	1	Current	Yes	389			
375	Integrated Imaging	The system shall provide the ability to catalog and track all records, documents and images.	1	Current	Yes	390			
376	Integrated Imaging	The system shall provide the ability to retrieve and view documentation provided by external users to satisfy business rules.	1	Current	Yes	391			
377	Integrated Imaging	The system shall enable an authorized user to retrieve and resend documents to the external user.	1	Current	Yes	392			
378	Integrated Imaging	The system shall enable an external user, including any other authorized party submitting documentation on that user's behalf, to upload supporting documentation and images to its license record through the on-line web browser.	1	Current	Yes	393			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
379	Integrated Imaging	The system shall enable External users to upload electronic documents or files to system records.	1	Current	Yes	394			
380	Integrated Imaging	The system shall provide the ability to interface with imaging/scanning/check scanning software.	1	Current	Yes	395			
381	Integrated Imaging	The system shall provide the ability to accept direct fax-to-image.	1	Current	Yes	396			
382	Integrated Imaging	The system shall provide the ability for an administrator to create and maintain a list of document types.	1	Current	Yes	397			
383	Integrated Imaging	The system shall provide the ability for an administrator to create and maintain relationships between document types and work queues/work items.	1	Current	Yes	398			
384	Integrated Imaging	The system shall provide the ability to identify the document type and appropriate line-of-business record/case file of any system-generated correspondence without user intervention (barcode).	1	Current	Yes	399			
385	Integrated Imaging	The system shall provide the ability to manually associate unsolicited correspondence to the appropriate line-of-business record/case file.	1	Current	Yes	400			
386	Integrated Imaging	The system shall provide the ability to route imaged correspondence to any work queue.	1	Current	Yes	401			
387	Integrated Imaging	The system shall provide the ability to route unidentifiable correspondence to specialized personnel for identification.	1	Current	Yes	402			
388	Integrated Imaging	The system shall provide the ability to view multi-page (including double-side) correspondence as one document.	1	Current	Yes	404			
389	Integrated Imaging	The system shall provide the ability to associate an image of the envelope including postmark with the correspondence it contained.	1	Current	Yes	405			
390	Integrated Imaging	The system shall allow for on-site certificate image scanners to send to OCR and immediately then be sent to the revenue management system.	1	Current	Yes	406			
391	Interfaces And Interoperability	The system shall be implemented to ensure existing system interfaces are maintained, as appropriate, and future interfaces can be easily created based on the Interface Assessment and Implementation Plan.	1	Current	Yes	409			
392	Interfaces And Interoperability	The system shall interface with the state's electronic payment transaction partner(s) for processing of electronic payments.	1	Current	Yes	410			



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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
393	Interfaces And Interoperability	The system shall interface with the state's accounting system to allow for the bi-directional transfer of financial information for revenue as well as other types of receipts (bad check fees, paid reports etc.), and for refunds and other kinds of payments.	1	Current	Yes	413			
394	Interfaces And Interoperability	The system shall provide the ability to send check images in base64 Binary. The state's preferred method is the contractor utilize the hardware already in use by the state for scanning check images.	1	Current	Yes	414			
395	Interfaces And Interoperability	The system shall provide a capability to verify an external user's bank account number and routing number via system interface.	1	Current	Yes	415			
396	Interfaces And Interoperability	The system shall interface with the state's accounting system to collect financial information of fees collected for licenses and education.	1	Current	Yes	418			
397	Interfaces And Interoperability	The system shall interface with the state's cashiering system in an approved format.	1	Current	Yes	419			
398	Interfaces And Interoperability	When the mobile computer is not connected to the FDACS network, the application shall provide local user authentication.	1	Current	Yes	421			
399	Interfaces And Interoperability	The system shall be compatible with currently supported mobile device platforms (iOS, Android, Windows).	1	Current	Yes	422			
400	Interfaces And Interoperability	The system shall provide secure remote access for authorized users using wireless internet-enabled mobile computers or handheld devices.	1	Current	Yes	423			
401	Interfaces And Interoperability	The system shall enable authorized users to view, capture, store, print, scan, and maintain compliance information from the field using a mobile device.	1	Current	Yes	424			
402	Interfaces And Interoperability	The system shall provide the ability to record and to automatically synchronize, securely, compliance information between a mobile device and the system when internet connectivity is available.	1	Current	Yes	425			
403	Interfaces And Interoperability	The system shall enable authorized users to select one or more scheduled compliance activities for which the system will download all relevant compliance information to a mobile device.	1	Current	Yes	426			
404	Interfaces And Interoperability	The system shall enable authorized users to transfer compliance information for each selected compliance activity to a mobile device.	1	Current	Yes	427			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
405	Interfaces And Interoperability	The system shall enable an authorized user to record compliance information on a mobile device even when internet connectivity is unavailable.	1	Current	Yes	428			
406	Interfaces And Interoperability	The system shall enable authorized users to suspend a compliance activity and save the entered compliance information on a mobile device as a work in progress, even when internet connectivity is unavailable.	1	Current	Yes	429			
407	Interfaces And Interoperability	The system shall enable authorized users to resume recording compliance information on a work in progress on a mobile device, even when internet connectivity is unavailable.	1	Current	Yes	430			
408	Interfaces And Interoperability	The system shall enable the external user to digitally sign on the mobile device to indicate a report has been received.	1	Current	Yes	431			
409	Interfaces And Interoperability	The system shall enable authorized users to securely export completed compliance information from a mobile device to the central system.	1	Current	Yes	432			
410	Interfaces And Interoperability	The system shall provide for secure, encrypted user authentication for remote users.	1	Current	Yes	433			
411	Interfaces And Interoperability	The system shall provide for remote sync with a central database over Wi-Fi or cellular data connection.	1	Current	Yes	434			
412	Interfaces And Interoperability	The system shall enable all data stored and transmitted on remote or mobile devices to be encrypted.	1	Current	Yes	435			
413	Interfaces And Interoperability	The system shall provide the ability to remotely wipe any data stored on remote or mobile devices.	1	Current	Yes	436			
414	Public Records	The system shall provide a capability to distribute public record requested information to authorized parties (originator of the request, general public, etc.)	1	Current	Yes	438			
415	Public Records	The system shall provide a capability to maintain administrator defined record sensitivity, by record type.	1	Current	Yes	439			
416	Public Records	The system shall provide a capability to associate a request for records to the requested records results, claimant account, and employer account.	1	Current	Yes	440			
417	Public Records	The system shall provide a capability to configure the time limit that records are available, by record type.	1	Current	Yes	441			
418	Public Records	The system shall provide a capability to assign a unique identifier to a request for information.	1	Current	Yes	442			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
419	Public Records	The system shall provide a capability to record a requestor's contact information.	1	Current	Yes	443			
420	Public Records	The system shall provide a capability to enter a request for information.	1	Current	Yes	444			
421	Public Records	The system shall provide a capability to limit record requests to defined record types.	1	Current	Yes	445			
422	Public Records	The system shall provide a capability to request records for a specified date range.	1	Current	Yes	446			
423	Public Records	The system shall provide a capability to restrict the dissemination of confidential records to authorized entities.	1	Current	Yes	447			
424	Public Records	The system shall provide a capability for a user to redact confidential information provided in a records request.	1	Current	Yes	448			
425	Public Records	The system shall provide a capability to redact information.	1	Current	Yes	449			
426	Public Records	The system shall provide a capability for a user to certify records prior to distribution.	1	Current	Yes	450			
427	Public Records	The system shall provide a capability to determine the number of pages in a record request.	1	Current	Yes	451			
428	Public Records	The system shall provide a capability to calculate the time a user takes to process a records request.	1	Current	Yes	452			
429	Public Records	The system shall provide a capability to store an administrator configurable cost per page for preparing a records request.	1	Current	Yes	453			
430	Public Records	The system shall provide a capability to store an administrator configurable cost per hour for preparing a records request.	1	Current	Yes	454			
431	Public Records	The system shall provide a capability to generate a unique records request invoice number.	1	Current	Yes	455			
432	Public Records	The system shall provide a capability to modify the system determined balance due for a records request.	1	Current	Yes	456			
433	Public Records	The system shall provide a capability to send an invoice to a requestor via the requestor's preferred method of communication.	1	Current	Yes	458			
434	Public Records	The system shall provide a capability to associate a payment with a records request.	1	Current	Yes	459			
435	Public Records	The system shall be able to segregate data from public view given the content and sensitivity of data.	1	Current	Yes	460			
436	Public Records	The system shall have a public website portal that provides constant access for information, data mining, and status reports.	1	Current	Yes	461			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
437	Record Management And Audit	The system shall enable authorized users to view audit trails by various selection criteria, including but not limited to: license, external user, authorized user, and business unit.	1	Current	Yes	462			
438	Record Management And Audit	The system shall provide an audit trail for all merges of duplicate entity data.	1	Current	Yes	463			
439	Record Management And Audit	The system shall provide log reports for user access.	1	Current	Yes	464			
440	Record Management And Audit	The system shall provide the capability to archive and restore audit logs.	1	Current	Yes	465			
441	Record Management And Audit	The system shall enable only authorized users to delete or reindex records.	1	Current	Yes	466			
442	Record Management And Audit	The system shall provide an audit trail for each document including: activity (uploaded, modified, accessed, deleted), activity date, source, and user.	1	Current	Yes	467			
443	Record Management And Audit	The system shall log all transactions to provide an audit trail of system access and activity.	1	Current	Yes	468			
444	Record Management And Audit	The system shall maintain an audit trail of any transaction review and approval that occurs during an automated workflow.	1	Current	Yes	469			
445	Record Management And Audit	The system shall maintain current and historical records for all past and present external users, including record of all license applications, renewals, and updates by date and license type.	1	Current	Yes	470			
446	Record Management And Audit	The system shall maintain a history of changes to each status and external user information including the date of change and the changes (add, modify, or delete).	1	Current	Yes	471			
447	Record Management And Audit	The system shall provide audit trail functionality to record data import, its source, and its point of entry.	1	Current	Yes	473			
448	Record Management And Audit	The system shall provide audit trail functionality for all generated notifications (e.g., user, date and time, type).	1	Current	Yes	474			
449	Record Management And Audit	The system shall produce audit records that contain sufficient information to, at a minimum, establish what type of event occurred, when (date and time) the event occurred, where the event occurred, the source of the event, the outcome (success or failure) of the event, and the identity of any internal or external user associated with the event.	1	Current	Yes	475			

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Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
450	Record Management And Audit	The system shall provide the ability of displaying audit trail information reflecting system activity by any user, either internal or external, to include data actions such as read/write/update/delete and archiving and printing. Audit trail information should also include date, time, and function of the data action.	1	Current	Yes	476			
451	Record Management And Audit	The system shall allow designated organizational personnel to select which auditable events are to be audited by specific components of the system.	1	Current	Yes	477			
452	Record Management And Audit	The system shall provide the ability for a system administrator to independently select and review the actions of any one or more users, including authorized or external users, based on individual user identity.	1	Current	Yes	478			
453	Record Management And Audit	The system shall provide the ability for an authorized user to configure a retention schedule for records and documents.	1	Current	Yes	479			
454	Record Management And Audit	The system shall alert designated organizational officials in the event of an audit processing failure.	1	Current	Yes	480			
455	Record Management And Audit	The system shall protect information and tools from unauthorized access, modification, and deletion.	1	Current	Yes	481			
456	Record Management And Audit	The system shall provide the capability to access history records based on selectable event criteria.	1	Current	Yes	482			
457	Record Management And Audit	The system shall use internal system clocks to generate time stamps for audit records.	1	Current	Yes	483			
458	Reporting & Dashboard	The system shall have a business location query feature per business rules.	1	Current	Yes	484			
459	Reporting & Dashboard	The system shall have a Dashboard Management Tool in order to track SLAs and performance measurements.	1	Current	Yes	485			
460	Reporting & Dashboard	The system shall allow access for the public to view reports, upload documents, and data mine per business rules.	1	Current	Yes	486			
461	Reporting & Dashboard	The system shall provide the ability to report on current status of workflow items (e.g., listing by work items and location in workflow, listing by authorized user of all assigned work items, listing of work items and current status, listing of work items by type).	1	Current	Yes	487			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
462	Reporting & Dashboard	The system shall enable capturing, storing and maintaining (adding, modifying, deleting) processing information about each license type including, but not limited to: <ul style="list-style-type: none"> <li>• Average number of days to process an initial application,</li> <li>• Average number of days to process a renewal,</li> <li>• Common reasons for denial,</li> <li>• license term,</li> <li>• Whether or not the license is renewable,</li> <li>• How often the license is renewable,</li> <li>• Whether or not an automatic renewal notification is generated,</li> <li>• The number of days prior to expiration that the notification is generated,</li> <li>• Grace period,</li> <li>• Late penalty,</li> <li>• Application submittal methods, and</li> <li>• Comments.</li> </ul>	1	Current	Yes	488			
463	Reporting & Dashboard	The system shall enable tracking of complaint trends for a number of items, including, but not limited to, establishment type, ownership, and type of complaint.	1	Current	Yes	489			
464	Reporting & Dashboard	The system shall report bottlenecks and problem areas throughout the lifecycle of a license workflow based on business rules.	1	Current	Yes	490			
465	Reporting & Dashboard	The system shall generate and display management dashboards for reporting performance metrics and statistics (key result measures, business unit goals, and business and trend reporting or analysis).	1	Current	Yes	491			
466	Reporting & Dashboard	The system shall enable reporting licensees/license types for external users (individual licensees, applicants, entities, facilities, organizations, companies, businesses, etc.).	1	Current	Yes	492			
467	Reporting & Dashboard	The system shall enable an authorized user to record and maintain evaluation information about each reviewed application.	1	Current	Yes	493			
468	Reporting & Dashboard	The system shall track the status of the pending application.	1	Current	Yes	494			
469	Reporting & Dashboard	The system shall enable displaying an establishment's history profile, licensing profile, and payment fee history for each type of license.	1	Current	Yes	495			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
470	Reporting & Dashboard	The system shall enable reporting on all payments received and all outstanding fees and fines due based on business rules.	1	Current	Yes	496			
471	Reporting & Dashboard	When processing fees, the system shall enable authorized users to view all fees and payments for an external user for a specified time period.	1	Current	Yes	497			
472	Reporting & Dashboard	The system shall provide reports based on type of violations by program area (manufacturer, retail, etc.).	1	Current	Yes	498			
473	Reporting & Dashboard	The system shall enable the generation of certain reports deemed time-sensitive to run using real-time data. Other reports not deemed time-sensitive can run using near real-time data.	1	Current	Yes	499			
474	Reporting & Dashboard	The system shall enable authorized users to generate reports in user selected types, including but not limited to: Hypertext Markup Language (.html), Adobe Acrobat Portable Document Format (.pdf), Microsoft Word (.doc), Rich Text Format (.rtf), Comma Separated Value (.csv), Tab Delimited, Microsoft Excel Spreadsheet format (.xls). Data exported to Comma Delimited, Tab Delimited, and Microsoft Excel Spreadsheet files shall preserve each unique field.	1	Current	Yes	500			
475	Reporting & Dashboard	The system shall enable authorized users to modify the parameters, layout, and structure of reports, letters and notices.	1	Current	Yes	501			
476	Reporting & Dashboard	The system shall enable authorized users to save selected report views for future use by individual users or multiple users.	1	Current	Yes	502			
477	Reporting & Dashboard	The system shall enable authorized users to generate and distribute reports accessing user-selected data fields based on events, process milestones, or predefined data thresholds.	1	Current	Yes	503			
478	Reporting & Dashboard	The system shall enable authorized users to distribute reports in a variety of formats per business rules.	1	Current	Yes	504			
479	Reporting & Dashboard	The system shall enable spell-checking reports, letters and notices.	1	Current	Yes	505			
480	Reporting & Dashboard	The system shall provide ad-hoc query and report-generation capability based on an unlimited number of search criteria according to user-selected data.	1	Current	Yes	506			
481	Reporting & Dashboard	The ad-hoc query and report-generation capability shall not impact the performance of the transaction processing system.	1	Current	Yes	507			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
482	Reporting & Dashboard	The system shall enable authorized users to generate ad-hoc reports using generalized selection and sort criteria and to specify the output file format (including but not limited to MS Office) and save the file to a user-specified location.	1	Current	Yes	508			
483	Reporting & Dashboard	The system shall enable authorized users to retrieve ad-hoc report definitions previously saved.	1	Current	Yes	509			
484	Reporting & Dashboard	The system shall enable sharing ad-hoc report definitions across business units according to business rules.	1	Current	Yes	510			
485	Reporting & Dashboard	The system shall enable authorized users to view and modify reports before saving or printing.	1	Current	Yes	511			
486	Reporting & Dashboard	The system shall provide the ability to include the name of the report, the date generated, and the page number on each page of a report.	1	Current	Yes	512			
487	Reporting & Dashboard	The system shall automatically generate predefined reports according to automated workflows.	1	Current	Yes	513			
488	Reporting & Dashboard	The system shall provide an Executive Dashboard to display high-level critical information for licensing.	1	Current	Yes	514			
489	Reporting & Dashboard	The system shall provide the ability to generate revenue reports by division.	1	Current	Yes	515			
490	Reporting & Dashboard	The system shall provide the ability to report on any data element in the system.	1	Current	Yes	516			
491	Reporting & Dashboard	The system shall provide the ability to execute on-demand reports.	1	Current	Yes	517			
492	Reporting & Dashboard	The system shall allow end-users with the appropriate access to modify report queries on-line.	1	Current	Yes	518			
493	Reporting & Dashboard	The system shall provide the ability to guide the user step-by-step through report creation.	1	Current	Yes	519			
494	Reporting & Dashboard	The system shall provide the ability to include run-time parameters for ad-hoc reports.	1	Current	Yes	520			
495	Reporting & Dashboard	The system shall provide the ability to report by calendar year, federal fiscal year, and state fiscal year periods.	1	Current	Yes	521			
496	Reporting & Dashboard	The system shall provide the ability for year-to-year, month-to-month, period-to-period, year to date and life to date comparisons on reports.	1	Current	Yes	522			
497	Reporting & Dashboard	The system shall provide the ability to create reports with defined calculations.	1	Current	Yes	523			



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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
498	Reporting & Dashboard	The system shall provide the ability to generate reports that include user-designed graphs and charts (e.g., organizational charts, line graphs, pie charts, regression lines).	1	Current	Yes	524			
499	Reporting & Dashboard	The system shall provide the ability to categorize user-defined reports into user-defined categories.	1	Current	Yes	525			
500	Reporting & Dashboard	The system shall allow ad-hoc report/query definitions to be stored in public libraries for use by other users.	1	Current	Yes	526			
501	Reporting & Dashboard	The system shall maintain a consistent interface to all reports (e.g., single reporting tool for designing ad-hoc and on-demand reports; generation of report is executed from the same reporting tool).	1	Current	Yes	527			
502	Reporting & Dashboard	The system shall provide the ability for processing reports in batch.	1	Current	Yes	528			
503	Reporting & Dashboard	The system shall execute on-line reports in the background and allow users to continue processing.	1	Current	Yes	529			
504	Reporting & Dashboard	The system shall allow the system administrator to set thresholds that provide notification to the administrator.	1	Current	Yes	530			
505	Reporting & Dashboard	The system shall allow the user or the administrator to delete any user-created reports per business rules and user role.	1	Current	Yes	531			
506	Reporting & Dashboard	The system shall support report distribution based on reporting conditions, such as user defined data values.	1	Current	Yes	532			
507	Reporting & Dashboard	The system shall provide the ability to print preview reports.	1	Current	Yes	533			
508	Reporting & Dashboard	The system shall provide the ability to define control breaks and number of lines per page limits.	1	Current	Yes	534			
509	Reporting & Dashboard	The system shall provide the ability to print a range of pages.	1	Current	Yes	535			
510	Reporting & Dashboard	The system shall provide the ability to route reports to various network printers as defined by an authorized user.	1	Current	Yes	536			
511	Reporting & Dashboard	The system shall provide the ability to specify number of copies of report to be printed.	1	Current	Yes	537			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
512	Reporting & Dashboard	The system shall provide authorized users the means of specifying form of output and distribution for reports (e.g., distribute to named users through email, print at local printer, print at remote printer, fax, distribute as data file through specified medium of transmission, email, etc.).	1	Current	Yes	538			
513	Reporting & Dashboard	The system shall provide the ability to direct reports to multiple outputs including email, screen, printer, and file.	1	Current	Yes	539			
514	Reporting & Dashboard	The system shall provide the ability to save report results in various formats (e.g., Microsoft Word, ASCII files, Microsoft Excel, Text files (.txt), PDF format, HTML, XML).	1	Current	Yes	540			
515	Reporting & Dashboard	The system shall support standard On-line Analytical Processing (OLAP) extraction, transmission, and formatting as it relates to reporting.	1	Current	Yes	541			
516	Reporting & Dashboard	The system shall provide a user-configurable dashboard utilizing on-demand queries and standard reports to provide information to the user in a summary drill-down format.	1	Current	Yes	542			
517	Reporting & Dashboard	The system shall provide the ability to generate reports based on report specific user defined parameters.	1	Current	Yes	543			
518	Reporting & Dashboard	The system shall provide the ability to allow users to design on-demand reports.	1	Current	Yes	544			
519	Reporting & Dashboard	The system shall provide the ability to report on unrestricted date ranges within the limits of available data.	1	Current	Yes	545			
520	Reporting & Dashboard	The system shall provide the ability to indicate a report contains confidential data and exclude any data fields that are marked as confidential if the report is to be published for public consumption (e.g., disclaimer notice across the bottom of the report).	1	Current	Yes	546			
521	Reporting & Dashboard	The system shall provide the ability to schedule a report to run without user intervention if certain user defined conditions are met.	1	Current	Yes	547			
522	Reporting & Dashboard	The system shall support portrait and landscape page orientation for reports.	1	Current	Yes	548			
523	Search And Navigation	The system shall enable authorized users to search for licenses by associated entity.	1	Current	Yes	549			
524	Search And Navigation	The system shall enable authorized users to search for external users by associated entity.	1	Current	Yes	550			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
525	Search And Navigation	The system shall enable users to search, sort, filter, and view any data specific to an external user, entity, or licensee in the system.	1	Current	Yes	551			
526	Search And Navigation	The system shall enable an authorized user to search records by entering full or partial matches to key attributes of license information.	1	Current	Yes	552			
527	Search And Navigation	The system shall enable searching for license information by a user specified date range.	1	Current	Yes	553			
528	Search And Navigation	The system shall enable authorized users to perform searches using 'wild cards.'	1	Current	Yes	554			
529	Search And Navigation	When more than one record matches the search criteria, the system shall display a list of all matching records, including key information about each record, and allow sorting of the result set by the configured columns.	1	Current	Yes	555			
530	Search And Navigation	When a search returns a list of records, the system shall enable users to select and view information about an individual record.	1	Current	Yes	556			
531	Search And Navigation	The system shall enable authorized users to perform query operations on all information associated with a license.	1	Current	Yes	557			
532	Search And Navigation	The system shall enable authorized users to search license information by status or license category.	1	Current	Yes	558			
533	Search And Navigation	The system shall provide the functionality to: • Search for nearest location by city, zip, county, business name and status	1	Current	Yes	559			
534	Search And Navigation	The system shall provide the ability to open multiple screens/windows, and windows shall be non-modal unless specific user action is required to complete a function.	1	Current	Yes	560			
535	Search And Navigation	The system shall provide the ability to access the menu structure or a navigation path while executing business functionality.	1	Current	Yes	561			
536	Search And Navigation	The system shall support the use of user defined shortcut keys to move between modules and menus.	1	Current	Yes	562			
537	Search And Navigation	The system shall allow navigation between related functionality without re-entering the original search criteria.	1	Current	Yes	563			
538	Search And Navigation	The system shall provide a logical sequence of screens and fields enabling users to quickly access, modify, skip or jump to other areas of interest for data entry based on the administrator-defined navigation.	1	Current	Yes	564			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
539	Search And Navigation	The system shall provide the ability to perform full-text searches.	1	Current	Yes	565			
540	Search And Navigation	The system shall provide the ability to perform keyword searches.	1	Current	Yes	566			
541	Search And Navigation	The system shall provide the ability to search a range of data values.	1	Current	Yes	567			
542	Search And Navigation	The system shall provide the ability to execute advanced search functionality from any area within the system.	1	Current	Yes	568			
543	Search And Navigation	The system shall require at least one search criteria is populated prior to executing a search.	1	Current	Yes	569			
544	Search And Navigation	The system shall provide the ability to group search results.	1	Current	Yes	570			
545	Search And Navigation	The system shall provide the ability to sort search results.	1	Current	Yes	571			
546	Search And Navigation	The system shall provide the ability to navigate to the appropriate record selected (within the context of the search).	1	Current	Yes	572			
547	Search And Navigation	The system shall provide the ability to filter the search results based on the user's security profile.	1	Current	Yes	573			
548	Search And Navigation	The system shall provide the ability to combine multiple search criteria using logical 'AND', 'OR' and 'BETWEEN' operators.	1	Current	Yes	574			
549	Search And Navigation	The system shall provide the ability to search and retrieve records (or logical groups of records) matching compound search criteria.	1	Current	Yes	575			
550	Search And Navigation	The system shall allow users to save search criteria and results with user-defined names.	1	Current	Yes	576			
551	Search And Navigation	The system shall provide the ability to include unstructured data in query results (e.g., Microsoft Word documents, Adobe Acrobat files).	1	Current	Yes	577			
552	Search And Navigation	The system shall provide large result sets in a paged manner, and shall indicate either the page number viewed of the total number of pages or range of listed records of the total number of records returned.	1	Current	Yes	578			
553	Search And Navigation	The system shall provide query searching capabilities that can be used to search within a result set.	1	Current	Yes	579			
554	Search And Navigation	The system shall provide the ability to perform advanced searches based on configurable criteria.	1	Current	Yes	580			
555	Search And Navigation	The system shall provide the ability to prompt the user to save work in progress prior to navigating to a new business function.	1	Current	Yes	581			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
556	Search And Navigation	The system shall provide the ability to specify the limit of the maximum number of records retrieved by a single page query.	1	Current	Yes	582			
557	Search And Navigation	The system shall provide the user with the total number of records found and total number of unduplicated records found matching the user's query.	1	Current	Yes	583			
558	Security	The system shall enable data encryption, at the data field level, according to FIPS 140-2.	1	Current	Yes	584			
559	Security	The system shall prevent unauthorized access to its application and data.	1	Current	Yes	585			
560	Security	Either session-based encryption or message-based encryption shall be used to encapsulate the data.	1	Current	Yes	586			
561	Security	The system shall ensure that data is vetted as secure by including buffer overflow checks, input validation, and cross-site scripting (XSS) checks.	1	Current	Yes	587			
562	Security	The system shall generate alerts when security controls are violated.	1	Current	Yes	588			
563	Security	The system shall scan all external file transfers for viruses before accepting them into the data repository.	1	Current	Yes	589			
564	Security	The system shall enforce display, entry, modification, deletion, and exchange of information using the principle of Least Privilege.	1	Current	Yes	590			
565	Security	The system shall provide access to all data and functionality within the system based on administrator-configurable security role(s) assigned to the user (e.g., access to data, access to documents, access to audit trail information, access to program information, access to financial data).	1	Current	Yes	591			
566	Security	The system shall provide access to data and functionality at the most granular level available (i.e. field level for data and screen access, document type for documents, individual menu item for functionality).	1	Current	Yes	592			
567	Security	The system shall provide varying levels of permission to access data and functionality (e.g., no access, view only access, create access, update access, and delete access).	1	Current	Yes	593			
568	Security	The system shall provide the ability to establish standard "user profiles" consisting of one or more security roles from which individual users may inherit privileges.	1	Current	Yes	594			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
569	Security	The system shall provide the ability for an administrator to modify the roles of a single user or group of users without modifying the original profile or role.	1	Current	Yes	595			
570	Security	The system shall provide the ability to assign role(s) to users effective for a specified date range.	1	Current	Yes	596			
571	Security	The system shall provide a single integrated login to access all functionality within the system.	1	Current	Yes	597			
572	Security	The system shall not display a password in clear text.	1	Current	Yes	598			
573	Security	The system shall provide for a warning of password expiration an administrator-configurable number of days prior to actual expiration.	1	Current	Yes	599			
574	Security	The system shall provide the user with a final warning to change his/her password prior to password expiration.	1	Current	Yes	600			
575	Security	The system shall automatically disable the user account when the administrator-configurable number of unsuccessful attempts is exceeded.	1	Current	Yes	601			
576	Security	The system shall provide the ability to limit user log-on to one workstation at a time.	1	Current	Yes	602			
577	Security	The system shall provide the capability to limit the number of concurrent sessions for each user account to an administrator-configurable number.	1	Current	Yes	603			
578	Security	The system shall notify the user, upon successful logon (access), of the date and time of the last logon (access).	1	Current	Yes	604			
579	Security	The system shall display an approved system notification message before granting access to the system.	1	Current	Yes	605			
580	Security	The system shall generate a unique session identifier for each session and recognizes only session identifiers that are system-generated.	1	Current	Yes	606			
581	Security	The system shall prevent further access to the system by initiating a session lock after an administrator-configurable period of inactivity or receiving a request from a user.	1	Current	Yes	607			
582	Security	The system shall provide a readily observable logout capability on all screens/pages.	1	Current	Yes	608			
583	Security	The system shall provide the capability for an administrator to create/modify both internal and external user accounts.	1	Current	Yes	609			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
584	Security	The system shall provide the ability to associate a user to a specific business unit within the organization.	1	Current	Yes	610			
585	Security	The system shall provide the capability for an administrator to reset a user's password without knowing the original password.	1	Current	Yes	611			
586	Security	The system shall provide the capability for an administrator to require a user to reset their password on the next successful login.	1	Current	Yes	612			
587	Security	The system shall prevent the creation of duplicate user accounts.	1	Current	Yes	613			
588	Security	The system shall provide the ability to enforce administrator-configurable security parameters (e.g., password strength, expiring passwords, lockout attempts, inactivity timeframes, etc.).	1	Current	Yes	614			
589	Security	The system shall provide the ability to log security events (e.g., failed/successful logon attempts, amendment of user rights, deletion of users).	1	Current	Yes	615			
590	Security	The system shall have the capability for an administrator to revoke user access for an individual user or group of users.	1	Current	Yes	616			
591	Security	The system shall have the capability for an administrator to suspend user access for an individual user or group of users.	1	Current	Yes	617			
592	Security	The system shall have the capability for an administrator to force logout for an individual user or group of users.	1	Current	Yes	618			
593	Security	The system shall provide the ability to deactivate user accounts after an administrator-configurable defined time of inactivity (days/weeks).	1	Current	Yes	619			
594	Security	The system shall provide the ability to generate automatic notification of locked user accounts to security administrator.	1	Current	Yes	620			
595	Security	The system shall provide the ability to report on user information (e.g., account status, assigned roles/permissions, user activity history, history of security profile changes for a user).	1	Current	Yes	621			
596	Security	The system shall provide the ability to track and report inactive user accounts for specified time periods.	1	Current	Yes	622			
597	Security	The system shall provide the ability to administer user security based on roles.	1	Current	Yes	623			
598	Security	The system shall support Secure Sockets Layer (SSL).	1	Current	Yes	624			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
599	Security	The system shall support cryptography (e.g., Advanced Encryption Standard, Data Encryption Standard).	1	Current	Yes	625			
600	Security	The system shall encrypt data transmission information (e.g., URLs, query strings, connection strings).	1	Current	Yes	626			
601	Security	The system shall encrypt all data on the data layer.	1	Current	Yes	627			
602	Security	The system shall maintain the integrity and confidentiality of information during aggregation, packaging, and transformation in preparation for transmission.	1	Current	Yes	628			
603	Security	The system shall provide the ability to mark data as "Confidential" or "Restricted" which will prevent the data from dissemination in public record requests.	1	Current	Yes	629			
604	Security	The system shall provide the ability to virus scan uploaded files using department-approved virus scanning software.	1	Current	Yes	630			
605	Security	The system shall enforce approved authorizations for controlling the flow of information within the system and between interconnected systems.	1	Current	Yes	631			
606	Security	The system shall authenticate devices before establishing network connections using bidirectional authentication between devices that is cryptographically based.	1	Current	Yes	632			
607	Security	The system shall ensure transactions and messages are accurately received as they were sent and information is not altered by non-authorized individuals.	1	Current	Yes	633			
608	Security	The system shall provide access control that permit or deny access to the application, information, or other resources, based on parameters including the identity of the source system and the target.	1	Current	Yes	634			
609	Security	The system shall prevent unauthorized and unintended information transfer via shared system resources.	1	Current	Yes	635			
610	Security	The system shall monitor and control communications at the external boundary of the system and at key internal boundaries within the system.	1	Current	Yes	636			



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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
611	Security	The system shall at managed interfaces, deny network traffic and audit internal users (or malicious code) posing a threat to external information systems.	1	Current	Yes	637			
612	Security	The system shall route all networked, privileged accesses through a dedicated, managed interface for purposes of access control and auditing.	1	Current	Yes	638			
613	Security	The system shall prevent unauthorized discovery of specific system components (or devices) composing a managed interface.	1	Current	Yes	639			
614	Security	The system shall fail securely (e.g., fail-safe) in the event of an operational failure of a boundary protection device.	1	Current	Yes	640			
615	Security	The system shall implement host-based boundary protection mechanisms for servers, workstations, and mobile devices.	1	Current	Yes	641			
616	Security	The system shall provide a capability to control access to documents using administrator configurable security credentials.	1	Current	Yes	642			
617	Security	The system shall provide a capability to redact information (e.g., social security numbers, names, addresses, etc.) on all correspondence based on program-specific business rules.	1	Current	Yes	643			
618	Self Service Portal	The system shall enable external users to enter license application, miscellaneous applications and renewal information through the internet (including attachments).	1	Current	Yes	644			
619	Self Service Portal	The system shall display a list of next steps to guide the user in completing his or her application during the online application process.	1	Current	Yes	645			
620	Self Service Portal	The system shall display a list of all follow-up information required to be submitted by the external user at the end of the application process, and prompt the user to submit other required documentation (e.g., notes, attachments).	1	Current	Yes	646			
621	Self Service Portal	The system shall enable external users to withdraw their own application according to business rules.	1	Current	Yes	647			
622	Self Service Portal	The system shall enable an external user to view the status of his or her application or renewal.	1	Current	Yes	648			
623	Self Service Portal	The system shall enable an external user to view the status of his or her pending, current, and expired license history for all licenses held.	1	Current	Yes	649			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
624	Self Service Portal	The system shall provide an online, publicly accessible wizard capability to assist external users in determining which license(s) are required for their particular needs.	2	Current	Yes	650			
625	Self Service Portal	The system shall enable the use of pre-populated menus based on user responses to guide the external user to information pertaining to the license(s) required for their particular needs.	1	Current	Yes	651			
626	Self Service Portal	The system shall enable entities to specify their preferred method of communication for each communication type across license types according to business rules.	1	Current	Yes	652			
627	Self Service Portal	The system shall display a list of next steps to guide the user in completing his or her renewal process.	1	Current	Yes	653			
628	Self Service Portal	The system shall enable an external user to surrender its license to FDACS or to place the license in inactive status at any point in the license period based on established business rules.	1	Current	Yes	654			
629	Self Service Portal	The system shall enable an external user, to view and manage all related subordinate licenses through its on-line account.	1	Current	Yes	655			
630	Self Service Portal	The system shall enable external users to pay fees and fines online or through back office based on user defined business rules.	1	Current	Yes	656			
631	Self Service Portal	The system shall calculate the difference between the fee amount due and the payment received and provide warning messages where appropriate to internet users.	1	Current	Yes	657			
632	Self Service Portal	The system shall display a list of each fee type and amount due and the total amount due for an entity.	1	Current	Yes	658			
633	Self Service Portal	The system shall provide the external user with confirmation that payment has been received.	1	Current	Yes	659			
634	Self Service Portal	The system shall generate a unique confirmation number that will be stored with the external user's account information.	1	Current	Yes	660			
635	Self Service Portal	The system shall have the ability to disable the anonymous online complaint functionality overall or specified complaint types, business types, events, etc.	1	Current	Yes	661			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
636	Self Service Portal	The system shall allow secure access to external users for all transactions applicable to their related license type(s) and associated license status(es) as defined according to the business rules.	1	Current	Yes	662			
637	Self Service Portal	If the user selects to apply for multiple licenses on line, the system shall collect user information once and pre-populate the license forms with that information.	1	Current	Yes	663			
638	Self Service Portal	The system shall enable establishing relationships among license types to enforce rules regarding the sequence in which applications can be applied for.	1	Current	Yes	664			
639	Self Service Portal	The system shall provide data validation and verification upon data entry.	1	Current	Yes	665			
640	Self Service Portal	The system shall allow external users to register with the system through the provision of a user account accessed by way of a user name and password per business rules.	1	Current	Yes	666			
641	Self Service Portal	The system shall provide a mechanism to maintain external users' position as they move through their order, including looking up related information and regulations during an application session.	1	Current	Yes	667			
642	Self Service Portal	The system shall provide links to or displays of procedures, processes, requirements and restrictions associated with the purchase of a license item, such that the external user has access to all relevant regulatory information and requirements.	1	Current	Yes	668			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
643	Self Service Portal	The system shall provide shopping cart functionality, i.e., the ability to access the shopping cart throughout the order session, including, but not limited to: <ul style="list-style-type: none"> <li>• Changing items in the cart</li> <li>• Removing items in the cart</li> <li>• Adding items to the cart</li> <li>• View detailed information in the cart including: <ul style="list-style-type: none"> <li>• Buyer identification information (name, address, phone number, etc.)</li> <li>• License holder information (information that will be associated with the license)</li> <li>• Item descriptions</li> <li>• Ancillary information about the license (e.g., valid dates)</li> <li>• Item prices</li> <li>• Total cost</li> </ul> </li> </ul>	1	Current	Yes	669			
644	Self Service Portal	The system shall ensure that if an item is removed from the shopping cart that all items for which that item was a prerequisite shall also be removed.	1	Current	Yes	670			
645	Self Service Portal	The system shall notify the external user regarding fulfillment options, license item delivery, etc.	1	Current	Yes	671			
646	Self Service Portal	Licenses printed via internet purchases shall include all information that would be printed through the FDACS office.	1	Current	Yes	672			
647	Self Service Portal	The system shall enable saving a partially completed form and allow the user to return to it for completion and submission later, based on business rules.	1	Current	Yes	673			
648	Self Service Portal	The system shall allow a user to add, modify and delete data on his or her form.	1	Current	Yes	674			
649	Self Service Portal	The system shall identify incomplete forms that have had no activity over a predetermined period of time and notify the external user of the department's intent to abandon the form within a specified period.	1	Current	Yes	675			
650	Self Service Portal	The system shall enable the public to search and view a public record report concerning the status of licenses maintained by the system, based on user-defined business rules.	1	Current	Yes	676			
651	Self Service Portal	The system shall enable public users to search and view all public external user data in the system based on user defined business rules.	1	Current	Yes	677			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
652	Self Service Portal	The system shall enable an external user to register for online system access to his or her license information.	1	Current	Yes	678			
653	Self Service Portal	The system shall enable authenticating profile information when changing or retrieving passwords.	1	Current	Yes	679			
654	Self Service Portal	The system shall prevent an external user from registering more than once with the same key demographic data.	1	Current	Yes	680			
655	Self Service Portal	The system shall enable an external user to request profile information changes online based on business rules.	1	Current	Yes	681			
656	Self Service Portal	The system shall provide the ability to designate according to business rules which items may be printed by the external user, including, but not limited to: <ul style="list-style-type: none"> <li>• Temporary licenses for use until mail fulfillment.</li> <li>• Short term licenses valid for the duration of the license term (no mail fulfillment).</li> </ul>	1	Current	Yes	682			
657	Usability	The system shall provide data quality editing, consistency and validity checks on data elements at the point of data entry. The system must display a meaningful error message, and prevent entry of data that does not pass edit checks.	1	Current	Yes	683			
658	Usability	The system shall display meaningful descriptions in the place of system codes (e.g., 'Male' instead of 'M').	1	Current	Yes	684			
659	Usability	The system shall provide the ability to associate forms, documentation, and reports to specific types of notifications.	1	Current	Yes	685			
660	Usability	The system shall provide a positive acknowledgement that the data entry has been accepted.	1	Current	Yes	686			
661	Usability	The system shall provide configurable messages to the user in the event of a system error (e.g., technical information, resolution required).	1	Current	Yes	687			
662	Usability	The system shall provide the ability to drill down from summary balances to the supporting detail transactions and drill up from the detail transaction, to the summary balance.	1	Current	Yes	688			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
663	Usability	The system shall provide the ability to establish business rules for the automatic generation of notifications to appropriate recipients (e.g., authorized user, external user, referring sources) for needed actions (e.g., follow-up required, need for data or documentation, scheduled appointment).	1	Current	Yes	689			
664	Usability	The system shall provide the ability to identify the method of transmission for each type of notification (e.g., paper, electronic).	1	Current	Yes	690			
665	Usability	The system shall provide the ability to maintain administrator-configurable tables for reference data.	1	Current	Yes	691			
666	Usability	The system shall provide the ability to maintain administrator-defined business rules specific to tracking information across multiple time zones (e.g., calendaring with the ability to reconcile 9:00 AM ET is 8:00 AM CT).	1	Current	Yes	692			
667	Usability	The system shall provide the ability to maintain administrator-defined notifications based on business processes and system events.	1	Current	Yes	693			
668	Usability	The system shall provide the ability, where appropriate, to save work in progress.	1	Current	Yes	694			
669	Usability	The system shall provide the ability to execute "copy / paste" functionality with third-party applications (e.g., Microsoft Word) per business rules.	1	Current	Yes	695			
670	Usability	The system shall utilize colors or other visual and non-visual aids to facilitate the use of system functions in accordance with Section 508 standards.	1	Current	Yes	696			
671	Usability	The system shall provide the ability to remove incomplete external user records after an administrator-defined time frame.	1	Current	Yes	697			
672	Usability	The system shall provide the ability for a user to upload and attach electronic documents to a record.	1	Current	Yes	699			
673	Workflow	The system shall either notify the user or shall trigger a workflow when entered information does not match existing known information based on business rules.	1	Current	Yes	700			
674	Workflow	The system shall enable managing license data and creating license process workflows for an unlimited number of license types.	1	Current	Yes	701			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
675	Workflow	The system shall enable notifying the appropriate business unit of a submitted application(s) in multiple formats per workflow.	1	Current	Yes	702			
676	Workflow	The system shall enable managing compliance data and creating compliance process workflows for an unlimited number of compliance activities.	1	Current	Yes	703			
677	Workflow	The system shall enable an authorized user to define external user data requirements and workflows for an unlimited number of external user types.	1	Current	Yes	704			
678	Workflow	The system shall enable creating an unlimited number of differing workflows with its own rules, steps and actions for various license types, reviews, and enforcement activities.	1	Current	Yes	705			
679	Workflow	The workflow system shall allow only the current owner and authorized proxies (i.e., supervisors) of an action can modify routing information.	1	Current	Yes	706			
680	Workflow	The system shall enable authorized users to waive a standard workflow requirement, moving to another step in the workflow, or triggering a new workflow, and tracking information associated with the waiver.	1	Current	Yes	707			
681	Workflow	The system shall enable sending an email and/or paper notification when a workflow step requires action from an external user or authorized user.	1	Current	Yes	708			
682	Workflow	The workflow system shall be able to support both automated and non-automated tasks.	1	Current	Yes	709			
683	Workflow	The workflow system shall allow authorized users to define the business processes to be managed by the workflow.	1	Current	Yes	710			
684	Workflow	The workflow system shall coordinate the execution of the defined processes.	1	Current	Yes	711			
685	Workflow	The workflow system shall ensure that work can be moved through the defined process. This requirement provides the general capability that requires each work item is able to move through each defined process steps.	1	Current	Yes	712			
686	Workflow	The workflow system shall monitor the progress of work.	1	Current	Yes	713			
687	Workflow	The workflow system shall allow the viewing of the existing workflows in both text and diagram form.	1	Current	Yes	714			
688	Workflow	The system shall enable authorized users to create, edit and terminate a workflow process.	1	Current	Yes	715			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
689	Workflow	The system shall enable authorized users to add, view, delete or modify an activity to a workflow process.	1	Current	Yes	716			
690	Workflow	The system shall enable authorized users to assign one or more users or roles to an activity associated with a workflow process.	1	Current	Yes	717			
691	Workflow	The system shall enable authorized users to define alerts associated with a workflow activity.	1	Current	Yes	718			
692	Workflow	The system shall enable authorized users to define time thresholds, parameters, and lead and lag times between activities for each workflow activity.	1	Current	Yes	719			
693	Workflow	The system shall enable authorized users to define concurrent activities within a workflow transaction.	1	Current	Yes	720			
694	Workflow	The system shall enable both sequential and concurrent approval processing, based on predefined authorized user configuration.	1	Current	Yes	721			
695	Workflow	The system shall enable authorized users to initiate predefined workflows based on the type of work item.	1	Current	Yes	722			
696	Workflow	The system shall enable authorized users to assign an activity to a role or user.	1	Current	Yes	723			
697	Workflow	The system shall notify appropriate authorized users when no authorized users or roles have been assigned to an activity.	1	Current	Yes	724			
698	Workflow	The system shall notify the appropriate authorized users of work that has been routed to them.	1	Current	Yes	725			
699	Workflow	The system shall enable ensuring that all the business rules associated with an activity have been satisfied before the next activity in the workflow is allowed to start.	1	Current	Yes	726			
700	Workflow	When work associated with a workflow process activity has been completed, the system shall automatically route the work to the next process.	1	Current	Yes	727			
701	Workflow	The system shall provide for each authorized user an electronic work queue ('inbox') capability of assigned work.	1	Current	Yes	728			
702	Workflow	The electronic work queue capability shall enable multiple options for sorting and filtering views of assigned work.	1	Current	Yes	729			
703	Workflow	The system shall enable authorized users to coordinate work activities according to the schedule.	1	Current	Yes	730			



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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
704	Workflow	The system shall enable generating and sending automatic reminders of needed actions to designated system users or interfaces based on business rules.	1	Current	Yes	731			
705	Workflow	The system shall enable generating automatic reminders of approaching key action deadlines that need to be taken based on business rules and sending them to designated authorized users.	1	Current	Yes	732			
706	Workflow	The system shall enable additional authorized users to have access to a user's work queue.	1	Current	Yes	733			
707	Workflow	The system shall enable authorized users to reassign work from one user to another.	1	Current	Yes	734			
708	Workflow	The system shall enable authorized users to access any relevant documents that are associated with an assignment in a work queue.	1	Current	Yes	735			
709	Workflow	The system shall ensure that once a work item has been assigned to a specific work flow, the work item follows the assigned workflow sequence, unless the workflow is overridden by an authorized user.	1	Current	Yes	736			
710	Workflow	The system shall enable authorized users to view the current progress of an individual work item.	1	Current	Yes	737			
711	Workflow	The system shall enable authorized users to view the current progress of a group of work items assigned to an individual, role, or program area.	1	Current	Yes	738			
712	Workflow	The system shall enable authorized users to view overdue work items assigned to an individual, role, or program area.	1	Current	Yes	739			
713	Workflow	The system shall enable users to perform inquiries or generate reports indicating the status of transactions moving through the automated workflows.	1	Current	Yes	740			
714	Workflow	The system shall have the capability to maintain workflows and work queues.	1	Current	Yes	741			
715	Workflow	The system shall provide the ability to define workflow routes and associated details based on user-defined business processes.	1	Current	Yes	742			
716	Workflow	The system shall provide the ability to route a work item within the administrator-defined workflow.	1	Current	Yes	743			
717	Workflow	The system shall provide the ability to maintain an administrator-defined set of required documentation needed to proceed to the next step in the workflow.	1	Current	Yes	744			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
718	Workflow	The system shall provide the ability to modify workflow routes which are in production.	1	Current	Yes	745			
719	Workflow	The system shall provide the ability to manually reassign work items which are "in progress" to the correct workflow step at the time a production workflow is modified.	1	Current	Yes	746			
720	Workflow	The system shall provide the ability to apply version control to workflows.	1	Current	Yes	747			
721	Workflow	The system shall provide the ability to assign administrator-defined rules to work item type codes.	1	Current	Yes	749			
722	Workflow	The system shall provide the ability to define review periods based on work item code.	1	Current	Yes	750			
723	Workflow	The system shall provide the ability to organize work items into work queues based on administrator-defined business rules.	1	Current	Yes	751			
724	Workflow	The system shall provide the ability to "turn-on" / "turn-off" review steps in a workflow based on administrator-defined criteria (e.g., by user, by business process).	1	Current	Yes	752			
725	Workflow	The system shall provide the ability to assign workflow users to specific work queues.	1	Current	Yes	753			
726	Workflow	The system shall provide the ability to retrieve and assign unassigned work items.	1	Current	Yes	754			
727	Workflow	The system shall provide the ability to assign work items to users based on pre-defined business rules.	1	Current	Yes	755			
728	Workflow	The system shall provide the ability to assign priority to work items based on administrator-defined business rules.	1	Current	Yes	756			
729	Workflow	The system shall provide the ability to establish administrator-defined business rules to prevent assignment of work to a user based on user availability (e.g., vacation, sickness, existing work-load).	1	Current	Yes	757			
730	Workflow	The system shall provide the ability to set user properties for work queues (e.g., duration of access to queue, queue functions assigned to the user).	1	Current	Yes	758			
731	Workflow	The system shall provide the ability to create work items from system events and user-initiated events.	1	Current	Yes	759			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
732	Workflow	The system shall provide the ability to initiate a workflow through the receipt of an electronic form or occurrence of a system event (e.g., uploaded form, imaged documentation, receipt of referral, appointment scheduled, receipt of requested documentation).	1	Current	Yes	760			
733	Workflow	The system shall integrate with document management functionality to cross-reference documentation with the appropriate work item.	1	Current	Yes	761			
734	Workflow	The system shall provide the ability to issue notifications as new documentation is associated with the work item.	1	Current	Yes	762			
735	Workflow	The system shall provide the ability to automatically move the work item to the next step in the workflow once required documentation has been received and associated with the work item.	1	Current	Yes	763			
736	Workflow	The system shall provide the ability to move work items between workflow steps based on administrator-defined workflow rules.	1	Current	Yes	764			
737	Workflow	The system shall provide the ability to trigger a change in the work item based on the change to the related line-of-business record.	1	Current	Yes	765			
738	Workflow	The system shall provide the ability to automatically move work items to the next step in the workflow once required user actions have been completed (e.g., acceptance, approval, rejection).	1	Current	Yes	766			
739	Workflow	The system shall provide the ability for the user to set work items to a "pending" state (indicating the item will not be worked for a period of time) per business rules.	1	Current	Yes	767			
740	Workflow	The system shall provide the ability to release pended items to an active state based on administrator-determined business rules.	1	Current	Yes	768			
741	Workflow	The system shall provide the ability to add notes to the work item.	1	Current	Yes	769			
742	Workflow	The system shall provide the ability to issue administrator-defined time-based reminders (e.g., work item not processed within defined time frames, work item not yet assigned, processing on the work item has not been initiated).	1	Current	Yes	770			
743	Workflow	The system shall provide the ability for a reviewer to reject the work item and return it to the original sender.	1	Current	Yes	771			
744	Workflow	The system shall provide the ability to refer work items to users outside of the assigned workflow.	1	Current	Yes	772			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
745	Workflow	The system shall provide the ability to close a work assignment based on administrator-defined business rules.	1	Current	Yes	773			
746	Workflow	The system shall provide the ability for supervisors to monitor the work items within a workflow.	1	Current	Yes	774			
747	Workflow	The system shall provide the ability to display the current workflow location (e.g., step in process, user inbox) of a work item.	1	Current	Yes	775			
748	Workflow	The system shall provide the ability to query the workflows, based on administrator-defined criteria, to find a specific work item.	1	Current	Yes	776			
749	Workflow	The system shall provide the ability to sort work items by all work item attributes.	1	Current	Yes	777			
750	Workflow	The system shall provide a capability to route an application to the appropriate business unit (or multiple business units) based upon external user responses to application intake questions.	1	Current	Yes	778			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
751	Interfaces And Interoperability	<p>System shall be interoperable with Esri ArcGIS, and leverage the following existing capabilities:</p> <ul style="list-style-type: none"> <li>• the capture, storage and management of spatial information as spatial data types (geometries: points, polylines, and polygons), each within an appropriate datum / coordinate system;</li> <li>• the conversion of spatial data between coordinate systems as business rules require;</li> <li>• the capture, storage, management, and synchronization of spatial data for disconnected (i.e. field) use;</li> <li>• the creation of spatial data at scales sufficient to meet the accuracy/precision needs of business rules;</li> <li>• the capture and management of both single part and multipart geometries (points, polylines, and polygons);</li> <li>• the management of 1:1, 1:Many, and Many:Many relationships between spatial data, and between spatial data and business records;</li> <li>• the capture of spatial data when address information is invalid or inapplicable (e.g. via GPS, extraction from existing spatial data, or on-screen digitization);</li> <li>• the use of spatial topologies for quality control (e.g. prohibit duplicate spatial data, identify erroneous locations, etc.);</li> <li>• available geosearch capabilities (i.e. ability to perform spatial queries using one or more spatial datasets);</li> <li>• available geolocation capabilities (i.e. ability to capture geographic location via GPS, telecommunications array, ISP, etc.) for the purpose of supporting other GIS functions such as queries, routing, reporting, etc.;</li> <li>• available navigation via web map interface (e.g. user pans/zooms to their location, user enters physical</li> </ul>	1	Current	Yes	779			
752	Architecture	Whenever possible, the system shall relate business records to existing spatial data (e.g. points, lines, and polygons) rather than creating/re-creating this data.	1	Current	Yes	790			
753	Architecture	The system shall be able to relate or otherwise associate information across multiple database systems.	2	Current	Yes	808			
754	Events And Scheduling	The system shall provide the option to configure notifications to users regarding scheduled changes to the system.	1	Current	Yes	815			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
755	Events And Scheduling	The system shall have the capability to provide scheduling/availability needs such as for investigations, training, public hearings, etc., system shall support all reservation and coordination activities.	1	Current	Yes	817			
756	Events And Scheduling	The system shall provide one or more disclaimers to applicants and/or general public as appropriate when registering or initiating an application process.	1	Current	Yes	820			
757	Correspondence & Forms	The system shall have the ability to barcode all outgoing correspondence with user defined fields per business rules.	1	Current	Yes	823			
758	Interfaces And Interoperability	The system shall allow the IVR to interface with each division database.	1	Current	Yes	824			
759		System shall limit/minimize the hard-coding of configuration or programmatic functionality.	1	Current	Yes	825			
760	CRM & IVR	System shall provide capability to save calls and chats to caller/applicant/licensee for retrieval after the call/chat.	1	Current	Yes	826			
761	Correspondence & Forms	The system shall be capable of scanning fingerprint cards using FBI-approved fingerprint scanning devices.	1	Current	Yes	827			
762	Workflow	The system shall include a drag-and-drop feature that will facilitate the manual assignment of work items where applicable per business rules.	1	Current	Yes	828			
763	Interfaces And Interoperability	The solution must interface with an integrated CRM solution.	1	Current	Yes	829			
764	Interfaces And Interoperability	The solution must interface with the integrated Document Management solution of Hyland OnBase.	1	Current	Yes	830			
765		The system must include the capability of tracking an individual's productivity (e.g., number of/time spent viewing/processing/completing work items).	1	Current	Yes	831			
766	Database Architecture	There should be no actual physical deletion of records in the system. Records should be marked as deleted and stamped with date and user and then stored in history tables.	1	Current	Yes	832			
767	Database Architecture	Modified records shall have the before record stored to a history table.	1	Current	Yes	833			

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Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
768	Security	Access to view history tables should be based on role assignment or specific user action.	1	Current	Yes	834			
769	CRM & IVR	The system must have the capability to generate licenses, registration documents in multiple forms (paper, card, digital, etc.)	1	Current	Yes	836			
770	Interfaces And Interoperability	The system shall have the capability of providing end-users with the ability to submit/report regulatory information to the department as required by the business rules of the regulatory program area. This capability will entail an end-user's establishing an interface with the department. Information to be submitted/reported would include: changes of address; lists of current employees; notices of hiring/termination; certificates of completion of training requirements; notices of completion/termination of internship; etc. The system should also provide the capability of allowing users to attach supporting documentation to fulfill the reporting requirements mandated by statute or rule (e.g., contract updates, bond updates, insurance policy updates and other regulatory filings).	1	Current	Yes	837			
771	Business Rules Engine	The system should also have the capability to verify that any new business rule created does not conflict or interfere with an existing rule.	1	Current	Yes	838			
772	Integrated Imaging	The system shall have the capability to perform OCR on scanned documents and images including documents uploaded in various formats (e.g., PDF, tiff, jpeg, etc.).	1	Current	Yes	839			
773	Architecture	The system shall relate business records to spatial data (e.g. points, lines, and polygons).	1	Current	Yes	840			
774	Account Management	The system shall provide the ability for an external user to specify a preferred language (English, Spanish, Creole, and French).	1	Current	Yes	841			
775	Usability	The system shall provide the capability to present all screens to external users in their preferred language (English, Spanish, Creole, and French).	1	Current	Yes	842			
776	Workflow	The system shall enable authorized users to rapidly configure and implement new business rules and workflows as needed (e.g. changes to federal/state laws, changes in department policies/procedures, or other event driven needs like product recalls, pests, etc.).	1	Current	Yes	843			
777	Disaster Recovery	The system shall have a Recovery Point Objective (RPO) of four (4) hours.	1	Current	Yes				

**FDACS**  
**Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Priority	Release	Accepted	Orig #	Contractor Response	Extent of Effort	Contractor Comments
778	Disaster Recovery	The system shall have a Recovery Time Objective (RTO) of 24 hours.	1	Current	Yes				



**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Contractor Response	Extent of Effort	Contractor Comments
1	Turnover	<p>The contractor shall conduct all planning activities associated with RLMS Turnover. The contractor shall create a schedule for RLMS turnover activities and submit the schedule for Department approval, within twenty (20) business days of the Department's Contract termination notification. After notification by the Department not to renew the Contract, and prior to initiation of the twelve (12) month period prior to turnover and closeout planning, the contractor(s) shall provide the following services:</p> <ul style="list-style-type: none"> <li>• General Planning with the Department: The Department will provide a point of contact and will provide Work Breakdown Structure (WBS) information for this task. The contractor shall track both Department and contractor responsibilities associated with the Turnover Phase.</li> <li>• General Planning with the Successor: The contractor shall work closely with the successor contractor during the planning for the Turnover Phase.</li> <li>• Develop a Turnover Plan: The contractor shall deliver a Turnover Plan to the Department for approval. This plan shall include: <ul style="list-style-type: none"> <li>o Proposed approach to the turnover;</li> <li>o Tasks and sub-tasks for the turnover;</li> <li>o Schedule for the turnover;</li> <li>o All RLMS production data, program libraries and documentation, including documentation update procedures for the Turnover.</li> </ul> </li> <li>• Develop RLMS Resource Requirements Statement: As part of the Turnover Plan, the contractor shall furnish to the Department a statement of resource requirements that would be required by the Department or a successor contractor to take over and support the RLMS.</li> </ul>			
2	Turnover	The contractor shall cooperate with the successor contractor, other contractors and the Department in the planning and transfer of operations. This will include meeting with the successor and devising work schedules that are agreeable for both Department and the successor contractor.			
3	Turnover	<p>The contractor shall develop and submit to the Department a Resource Requirements Statement that shall include all resource requirements based on the contractor's experience and shall include the actual contractor resources devoted to the operation of RLMS.</p> <p>This statement shall include an estimate of the number, type and salary of personnel needed to operate the equipment and other functions of RLMS. The estimate shall be separated by type of activity of the personnel.</p> <p>In addition, the statement shall include all facilities and any other resources required to operate RLMS including, but not limited to:</p> <ul style="list-style-type: none"> <li>• Data processing and imaging equipment;</li> <li>• System and special software;</li> <li>• Other equipment;</li> <li>• Telephony;</li> <li>• Telephones;</li> <li>• Office space.</li> </ul>			
4	Turnover	The contractor shall provide a detailed staffing organizational chart depicting the contractor's total RLMS operation.			
5	Turnover	<p>The contractor shall transfer to the Department or the successor contractor, as needed, a production copy of RLMS including, but not limited to:</p> <ul style="list-style-type: none"> <li>• All necessary data and reference files;</li> <li>• Imaged documents stored on media approved in writing by the Department;</li> <li>• All production computer programs;</li> <li>• All production scripts, routines, control language, and schemas;</li> <li>• All production documentation including, but not limited to user and operations manuals, system documentation put on media and in a format approved in writing by the Department, needed to operate and maintain RLMS, and the documented procedure manuals needed to update computer programs and other documentation.</li> </ul>			
6	Turnover	The contractor shall provide training to the successor contractor staff in the operation of RLMS. Such training, as defined by the Department, shall be completed within the first six (6) months of the successor's Contract execution.			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Contractor Response	Extent of Effort	Contractor Comments
7	Turnover	The contractor shall provide updates or replacement copies for all data and reference files, computer programs, and all other documentation that have changed and will be required by the Department or the successor contractor to run acceptance and parallel tests and to operate RLMS.			
8	Turnover	The contractor shall turn over any physical records, files or documents stored and used by the RLMS at the time of the turnover.			
9	Turnover	When requested by the Department, the contractor shall transfer all source code in a medium approved in writing by the Department. The contractor shall be required to supply all media used in the transfer of data, files and documentation and will be responsible for all associated shipping charges.			
10	Turnover	<p>Upon completion of all operations and turnover activities to the succeeding contractor or Department, the contractor shall complete the following activities:</p> <p>Financial Reconciliation: All financial reconciliation activities shall be submitted to the Department for approval within 90 business days of the Contract execution end date.</p> <ul style="list-style-type: none"> <li>• Final reconciliation of the RLMS bank account;</li> <li>• Final settlement of all outstanding financial transactions in the bank account;</li> <li>• Final settlement of all contractor invoices;</li> <li>• Final reconciliation of all accounts receivable;</li> <li>• Final assessment of any liquidated damages;</li> <li>• An independent audit of the bank account by an entity with no contact or relationship with the contractor; the contractor shall be responsible for all associated costs of this independent audit.</li> </ul> <p>Resolution of Turnover Issues:</p> <ul style="list-style-type: none"> <li>• The contractor shall verify that RLMS is accurate and complete when turned over to the Department or the successor contractor.</li> <li>• The contractor shall correct, at no additional cost to the Department, any issues that existed in the system prior to turnover or were caused by the lack of support, by the contractor, as may be determined by the Department.</li> </ul>			
11	Turnover	The contractor shall create the Turnover Completion Report, where the contractor documents all activities that have been completed, ones that are not completed and any remaining issues.			
12	Turnover	The contractor shall provide a WBS for the Turnover Phase of the Project.			
13	Facility	The contractor's staff defined as "Key" must be onsite for Release 1 due to heightened Criminal Justice Information System (CJIS) requirements. The Department is open to collocation recommendations from the contractor for the subsequent Releases.			
14	Facility	<p>The contractor and subcontractors, as determined and approved by the Department, shall maintain a primary office in Tallahassee, FL, and within a ten (10) mile radius of the Department's offices located at 407 South Calhoun Street, Tallahassee, FL.</p> <p>The Department requires that the contractor provide qualified personnel resources, and additional facilities and office supplies outside of what the Department provides necessary to support the production and operation of the RLMS, meet the business requirements and the systems and operational performance standards described in this ITN.</p> <p>The following RLMS and contractor functions will be performed at the Tallahassee facility, unless otherwise authorized by the Department:</p> <ul style="list-style-type: none"> <li>• Training;</li> <li>• Department liaison/contract administration;</li> <li>• Testing (UAT and System);</li> <li>• JAD, design, configuration and review sessions.</li> </ul> <p>The Department will approve the location of the contractor's Tallahassee office and computer installation(s) for all RLMS functions and activities. The contractor may not change the location(s) of its facility(s) except for good cause and with the prior written approval of the Department.</p>			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Contractor Response	Extent of Effort	Contractor Comments
15	Facility	The following RLMS related contractor functions will be performed at the FDACS facilities in Tallahassee, FL for the Operations Phase, unless otherwise approved by the Department: <ul style="list-style-type: none"> <li>• Department liaison/contract administration;</li> <li>• Training of the Department staff on the replacement RLMS.</li> </ul> <p>Additional staff to perform systems development, programming and modifications may be housed offsite.</p>			
16	Facility	The contractor can supply adequate meeting room facilities to accommodate Project staff and the Department Project Team members for regular status, team and strategy meetings. The meeting room shall have computer connectivity and presentation capabilities, and a high-quality speakerphone for remote staff to attend meetings by telephone.			
17	Facility	The contractor shall provide twenty-four (24) hours, seven-days-a-week (24/7) access to all Tallahassee, FL RLMS facilities, and operations to each employee designated by the Department, without prior notice, admission, escort or other requirements. The Department and the contractor shall work together to establish the appropriate protocols so that physical property/facility security and data confidentiality safeguards are maintained. Access to any non-Tallahassee facility used to support RLMS will be granted within five (5) business days of the request.			
18	Facility	All facilities provided by the contractor shall meet all of the security requirements detailed in the Requirements Traceability Matrix (RTM).			
19	Facility	RLMS computer processing shall be performed at a site to be selected by the contractor and approved by the Department.			
20	Facility	The Department shall be responsible for providing computer resources to support the completion of all tasks. Contractor computer resources shall be available 24 hours, seven-days-a-week (24/7), except for authorized down time and maintenance.			
21	Facility	The Department shall be responsible for providing and maintaining all necessary telecommunications circuits between all of the Department offices.  In the instance where the contractor requires connectivity, and approved by the Department, other than VPN to the Department, the contractor shall be responsible for providing the telecommunication.			
22	Facility	The Department will provide space for the contractor's Key Named Staff at Department facilities.			
23	Facility	If the contractor utilizes subcontractors, the subcontractors' locations shall be approved by the Department before operations begin at that location.			
24	Facility	Contractors collocated at the Department site will be provided FDACS laptops with access to the Department's network. Contractors will not be allowed to connect to the internal FDACS network with contractor owned equipment. A guest wireless account will be available for external communications. Contractors shall comply with all Department policies.			
25	Facility	The contractor can supply any additional contractor maintained equipment or software required to meet the Department's performance requirements.			
26	Facility	In the event of a disaster affecting the Department's RLMS facilities, the contractor shall be responsible for the adhering to the Department's Continuity of Operations (COOP) for the RLMS Project and allow for collocation at the contractor's facilities, where appropriate. The contractor will be responsible for providing the information specific and changes related to the Department's COOP, and participate in Disaster Recovery testing.			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Contractor Response	Extent of Effort	Contractor Comments
27	Facility	<p>The contractor shall adhere to the minimum configuration specifications provided by the Department, which include:</p> <p>FDACS will provide the contractor with the necessary amount of workstations to perform the work required for this Project. Each workstation will have the following configuration:</p> <ul style="list-style-type: none"> <li>• Microsoft Windows operating system with 8GB RAM;</li> <li>• Microsoft Office 2013;</li> <li>• Microsoft Project for select Project Management team staff;</li> <li>• Microsoft Visio Professional 2010.</li> </ul> <p>In addition to Microsoft Office and Visio, Microsoft Project Professional 2010 will be installed on a number of the workstations to be determined by the Department. Each contractor team member assigned to the Project will be provided the following:</p> <ul style="list-style-type: none"> <li>• FDACS network account;</li> <li>• FDACS email account;</li> <li>• Access to the Project SharePoint site.</li> </ul>			
28	Facility	<p>The contractor shall provide perform all business and technical functions described in <b>Attachment I, RLMS SOW</b> from Contract execution until each business function is turned over to a successor contractor at the end of the Contract, including any optional additional periods or extensions. The contractor shall provide qualified staffing, facilities, and office supplies necessary to fully support the production and operation of the RLMS and fulfill the performance standards and requirements as detailed in this ITN. See <b>Attachment I, RLMS SOW, Section 8.8, Staffing Requirements</b>, for detailed staffing requirements.</p>			
29	O & M	<p>The contractor's Project Management Office (PMO) shall establish management plans to address the different requirements in the O&amp;M Phase as well as assist in managing any development projects that occur throughout this particular phase.</p> <p>Plans and processes established during the DDI Phases of the Contract, as determined by the Department, shall apply to all activities through the remainder of the Contract. The PMO shall be responsible for developing the following management plans and processes, as described in Attachment I, RLMS SOW, Section 8.1, Project Management:</p> <ul style="list-style-type: none"> <li>• Quality Assurance Procedures and Standards Manual;</li> <li>• Communications Plan;</li> <li>• Training Plan;</li> <li>• Monthly Performance Report;</li> <li>• Weekly Status Report.</li> </ul> <p>The contractor's Project Management Office (PMO) shall establish management plans to address the different requirements in the O&amp;M Phase as well as assist in managing any development projects that occur throughout this particular phase.</p> <p>Plans and processes established during the DDI Phases of the Contract, as determined by the Department, shall apply to all activities through the remainder of the Contract. The PMO shall be responsible for developing the following management plans and processes, as described in Attachment I, RLMS SOW, Section 8.1, Project Management:</p> <ul style="list-style-type: none"> <li>• Quality Assurance Procedures and Standards Manual;</li> <li>• Communications Plan;</li> <li>• Training Plan;</li> <li>• Monthly Performance Report;</li> <li>• Weekly Status Report.</li> </ul> <p>The contractor's Project Management Office (PMO) shall establish management plans to address the different requirements in the O&amp;M Phase as well as assist in managing any development projects that occur throughout this particular phase.</p> <p>Plans and processes established during the DDI Phases of the Contract, as determined by the Department, shall apply to all activities through the remainder of the Contract. The PMO shall be responsible for developing the following management plans and processes, as described in Attachment I, RLMS SOW, Section 8.1, Project Management:</p> <ul style="list-style-type: none"> <li>• Quality Assurance Procedures and Standards Manual;</li> </ul>			

**FDACS  
Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Contractor Response	Extent of Effort	Contractor Comments
30	O & M	<p>The contractor shall develop and submit the Quality Assurance Procedures and Standards Manual for the O&amp;M Phase to the Department and receive written approval from the Department annually.</p> <p>The plan should address the contractor's commitment to retaining the personnel skills and competency levels originally proposed for the O&amp;M Phase, as well as explain the philosophy and approach to developing and sustaining an operating model that assures quality compliance and drives the efficient delivery of all services and meets performance expectations. The plan shall outline the organizational staffing requirements needed to support the overall quality management and its related activities that include, but are not limited to:</p> <ul style="list-style-type: none"> <li>• Management and control procedures to monitor all contractor functions;</li> <li>• Management and control procedures to monitor all sub-contractor functions;</li> <li>• Inventory management procedures and protocols;</li> <li>• Internal quality control and assurance tools;</li> <li>• Backlog monitoring, controls, and contingency plans;</li> <li>• Contract monitoring, controls, and contingency plans;</li> <li>• Back-up and cross-training plans.</li> </ul>			
31	O & M	<p>The contractor shall develop and submit a Communications Plan for the O&amp;M Phase to the Department. The Communications Plan shall address the communications between the contractor and the Department and its stakeholders. The Communications Plan shall include a matrix that identifies communications to stakeholders. The contractor shall also maintain and update the Communication Plan throughout the life of the Contract with an annual update submitted to the Department for review and written approval.</p> <p>The contractor shall establish and maintain effective and efficient communication protocols and lines of communication both internally and with the Department; no action shall be taken which has the appearance of or effect of reducing open communication and association between the Department and the contractor.</p> <p>The contractor shall provide written status reports and attend status meetings on a weekly basis. The exact content, format, presentation and necessary approvals will be finalized during the Implementation Phase.</p>			
32	O & M	<p>The contractor shall develop and submit a Training Plan for the O&amp;M Phase. The contractor shall also maintain and update the Training Plan throughout the life of the Contract with an annual update submitted to the Department for review and written approval.</p>			
33	O & M	<p>The contractor is responsible for providing to the Department complete, accurate and timely documentation of the RLMS operations. The online documentation shall be formatted into a comprehensive, searchable, user friendly, printable format that is acceptable to the Department, and will be maintained on the Department's document repository.</p>			
34	O & M	<p>The contractor shall develop a Disaster Recovery Plan that outlines its strategies and approaches for implementation of RLMS. This plan shall be submitted to the Department for review and approval. The plan shall provide assurance of the continued operations of RLMS in the event of a disaster or other unforeseen disruption. At a minimum, the Disaster Recovery Plan shall meet all of the requirements outlined in Attachment I, RLMS SOW, Section 8.6, Disaster Recovery, which include:</p> <ul style="list-style-type: none"> <li>• Backup and Recovery Approach;</li> <li>• Business Continuity Analysis;</li> <li>• Backup Plan</li> <li>• Annual Disaster Recovery Demonstration and Test Plan;</li> <li>• Update the Disaster Recovery Plan annually and after any major system change, as designated by the Department.</li> </ul>			
35	O & M	<p>The contractor is responsible for providing to the Department complete, accurate, and timely online documentation of the RLMS Operations. The RLMS online documentation should be formatted into a comprehensive, searchable, user friendly, printable in a format acceptable to the Department, and will be maintained in the Department's document repository.</p> <p>The contractor shall update online documentation with all modifications and modernizations that are made to the system after the initial delivery of the documentation and through the completion of the contract.</p>			

**FDACS**  
**Requirements Traceability Verification Matrix (RTVM)**

Final #	Type	Description	Contractor Response	Extent of Effort	Contractor Comments
36	O & M	The contractor shall develop a Warranty Completion Report to be reviewed and approved by the Department. This report will cover all the tasks completed during the warranty period.			
37	PM	The contractor shall work with the Department's PPMO contractor and provide information requested for inclusion in the updated Project Charter. The charter shall meet requirements of a Project Charter established by the PPMO contractor, which is available in the Procurement Library.			
38	PM	The contractor shall establish a formal PPMO (adhering to PMI standards and principles) that shall be responsible for working with the already established PPMO contractor and producing the project documentation. The contractor's PPMO shall exist for the length of the Contract.			
39	PM	The contractor shall develop a PMP to supplement the plan developed by the PPMO contractor. This plan should address how the contractor shall coordinate their internal project management processes with those of the already established project management methods and processes in the Project PMP. The PMP for the RLMS Project is available in the Procurement Library.			
40	PM	The contractor shall develop a Project Schedule and Work Breakdown Structure (WBS) that identifies the phases, tasks, milestones and deliverables required for project execution. The Project Schedule shall include, at a minimum: <ul style="list-style-type: none"> <li>• Project Schedule indicating start and end dates;</li> <li>• Critical Path indicating dependencies and interrelationships between tasks;</li> <li>• Tasks and subtasks with estimate to complete;</li> <li>• Resource Assignment and Leveling;</li> <li>• Tasks decomposed to 80-hour task components (10 days duration or less);</li> <li>• Other schedule task and process standards established by the PPMO contractor and documented in the Schedule Management Plan in the Procurement Library.</li> </ul> <p>During the execution of the Project, the contractor shall maintain and update the Project Schedule as defined by the PPMO contractor and will submit updates and report variances to the PPMO contractor weekly.</p>			
41	PM	The contractor shall develop and deliver a Quality Management Plan. The contractor shall identify standards for quality and periodically assess if those standards are being met. The Quality Management plan shall reflect a process for sampling and auditing for continuous quality improvement. The contractor shall also maintain and update the Quality Management Plan throughout the life of the contract with an annual update submitted to the Department for review and written approval.			
42	PM	The contractor shall develop and deliver a Requirements Management Plan that will describe their approach, methods and processes for the management of all requirements for this Project.			
43	PM	The contractor shall provide a requirements management tool as part of an application lifecycle management solution to support full forward and backward traceability and tracking of the project requirements.			
44	PM	The contractor shall utilize MS Office 2013 or later and MS Project 2010 or later or other Department standard as indicated. The contractor can suggest and deliver other Project Management Tools thought to be necessary for the successful completion of this project, subject to the approval of the Department. The contractor shall be required to keep the management tool updated for compatibility with the latest versions within six (6) months of release in coordination with the Department.			
45	PM	The contractor shall utilize the document repository set up by the PPMO contractor for storage of project documents and deliverables. A separate and distinct partition will be set up for the contractor which will allow read and write access to contractor personnel and read only access to others.			
46	PM	The contractor shall prepare and submit to the PPMO contractor weekly project status reports as directed in the Project PMP. The PMP for the RLMS Project is available in the Procurement Library.			

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**AGRICULTURE AND CONSUMER SERVICES  
SYSTEM (AgCSS) PROJECT**

*DELIVERABLE 3 – SUCCESS CRITERIA*

Date: 07/31/2017  
Version: 100

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**Revision History**

DATE	AUTHOR	VERSION	CHANGE REFERENCE
07/21/2017	Brian Peacock/Julia Grissett	001	Initial draft

**Quality Review**

NAME	ROLE	DATE

## SECTION 1 SUCCESS CRITERIA

A critical initial step in the modernization of the Florida Department of Agriculture and Consumer Services (FDACS) regulatory systems portfolio is the development of a clear and guiding solution strategy and goals/success criteria which align with the overall mission of the Department and the FDACS IT Strategic Plan. The solution strategy and goals/success criteria need to clearly address the key risks and challenges the Department is currently facing while discharging the statutorily required functions and duties.

The strategy and goals/success criteria for developing an Agriculture and Consumer Services System (AgCSS) were facilitated during a FDACS senior leadership team session on Wednesday, August 27, 2014. The session outputs were further refined with the FDACS PPMO team, and a final draft was presented to the senior leadership team for approval on Tuesday, September 23, 2014. The exhibits provided below reflect edits received during the September 23 session.

The format used to document the AgCSS solution strategy and goals/success criteria is a strategy articulation map depicting the alignment between the Department's mission down to each solution goal. Each of the four solution goals is further defined with goal descriptions and the business value that can be expected to be realized once AgCSS has been fully implemented.

### 1.1 HOW TO USE THE AGCSS STRATEGY ARTICULATION MAP

The strategy articulation map supports multiple purposes throughout the project implementation lifecycle:

1. Identifies the required "success criteria" requirement of Section III, Success Criteria in the Guidelines for Preparing the Schedule IV-B for Information Technology Projects by providing:
  - a. Critical results, both outputs and outcomes, which must be realized in order for the Department to consider the proposed IT project a success, and
  - b. Defining key performance indicators (KPIs)
2. Establishes the primary justification for undertaking the project
3. Provides a foundation for communication with both internal and external project stakeholders
4. Provides the project governance with a framework to evaluate downstream change requests.



## 1.2 AgCSS STRATEGY ARTICULATION MAP

The following exhibit depicts the overall alignment (or articulation) of the Department's mission with four specific solution goals:



**Exhibit 1-1: AgCSS Strategy Articulation Map**

Florida Department Of Agriculture And Consumer Services – Agriculture and Consumer Services System (AgCSS) Project  
Deliverable 3 – Success Criteria



### 1.3 AgCSS SOLUTION GOALS/SUCCESS CRITERIA

Each of the four solution goals are further developed to include:

- Goal description
- Goal business value

**Goal description.** The goal description is designed to provide additional support for each goal statement.

**Goal business value.** The goal business value describes the value the Department could obtain once AgCSS is operational.

The following exhibits describe each of the four identified solution goals:

**Goal 1: Enhance the customer experience**

**Description**

Improved customer experience

- Expands customer self-service
- Leverages mobile solutions for

**Exhibit 1-2: AgCSS Goal 1**



## Goal 2: Optimize production through enhanced monitoring

Description

Provide a platform for the Department of Agriculture and Consumer Services to monitor and optimize production through enhanced monitoring activities.

- Expands the use of geospatial data for monitoring and optimization activities.
- Leverages a master data management system for monitoring and optimization activities.

Exhibit 1-3: AgCSS Goal 2



## Goal 3: Enable and

description

Provide a platform for the Department of Agriculture and Consumer Services (AgCSS) Project

- Reduces data and process re
- Increases standardization of c

Exhibit 1-4: AgCSS Goal 3



## Goal 4: Leverage a mobile solution to recognize and

ption

Replace outdated hardware and

- Improves functionality and ease
- Leverages mobile solutions for

Exhibit 1-5: AgCSS Goal 4



## 1.4 KEY PERFORMANCE INDICATORS

Key performance indicators (KPIs) were identified through the analysis of the business value of each solution goal/success criteria. The following exhibit depicts how each of the previous components of the strategy articulation map contribute to the identification of KPIs:



**Exhibit 1-6: How Key Performance Indicators are Identified**

Many of the identified KPIs are included in the set of benefits to be tracked as part of the project's benefits realization activities. For those being tracked, a baseline value will be calculated and a corresponding target benefit established. The AgCSS KPIs can be grouped into the following six categories:

- 1. Increase process efficiencies in anticipation of growth in transaction volume –** The analysis in support of this business case identified business processes dependent on manual intervention to support both the licensing and permitting function, as well as various inspection processes. It is anticipated that deploying AgCSS will increase self-service capabilities and provide functionality to eliminate many of the manual processes currently required in the initial license and permit issuance and corresponding renewal processes. Similarly, enabling the Department's inspection workforce with mobile applications will allow for greater efficiencies in the completion of required inspections.
- 2. Enhance the Department's Emergency Response capabilities –** The current emergency response capabilities are dependent on the development of custom applications for each event. It is anticipated that AgCSS will deliver functionality that will reduce the overall response time and level of effort required to support the response effort.
- 3. Reduce Department-wide system maintenance costs –** The current environment includes multiple applications supporting similar processes across Divisions. This redundancy includes both hardware requirements and software licenses. It is anticipated that deploying AgCSS will reduce the overall Department maintenance costs.

The major success criteria for the project, along with the KPIs which must be realized in order for the Department to consider the project a success, are outlined in Exhibit 1-7 below.





#	SUCCESS CRITERIA	HOW WILL THE CRITERIA BE MEASURED?	WHO BENEFITS?	REALIZATION DATE
1	The solution will expand customer self-service capabilities.	<ul style="list-style-type: none"> <li>▪ Number of new and renewal licenses issued</li> <li>▪ Customer support costs</li> <li>▪ Customer satisfaction</li> <li>▪ Time to correspond to customers</li> <li>▪ Number of licenses issued and renewed online</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
2	The solution will leverage mobile solutions for both the workforce and customers.	<ul style="list-style-type: none"> <li>▪ Time to complete application</li> <li>▪ Time to issue permit/license</li> <li>▪ Time to complete inspection</li> <li>▪ Employee satisfaction</li> <li>▪ Customer satisfaction</li> <li>▪ Emergency Response communication, mapping, and coordination</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
3	The solution will provide a consistent customer experience.	<ul style="list-style-type: none"> <li>▪ Wait time for calls answered by Public Inquiry Section</li> <li>▪ Time to pay for multiple permits/licenses</li> <li>▪ Brand awareness</li> <li>▪ Customer satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
4	The solution will leverage a single view of customer interactions.	<ul style="list-style-type: none"> <li>▪ Number of redundant records</li> <li>▪ Number of duplicate permits/licenses</li> <li>▪ Number of redundant processes</li> <li>▪ Time to issue permit/license</li> <li>▪ Number of errors/omissions in applications</li> <li>▪ Mailing costs</li> <li>▪ Time to reconcile accounts with payments received</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation



#	SUCCESS CRITERIA	HOW WILL THE CRITERIA BE MEASURED?	WHO BENEFITS?	REALIZATION DATE
5	The solution will standardize e-commerce capabilities.	<ul style="list-style-type: none"> <li>▪ Number of new applications and renewals paid online</li> <li>▪ Cost of processing an initial application/ renewal</li> <li>▪ Number of paper documents produced</li> <li>▪ Time to reconcile accounts with payments received</li> <li>▪ Time to deposit payments received</li> <li>▪ Customer satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> <li>▪ FDACS customers</li> </ul>	Upon implementation
6	The solution will enhance the interactions between Divisions and Offices.	<ul style="list-style-type: none"> <li>▪ Time to generate reports</li> <li>▪ Time to retrieve data from other Divisions</li> <li>▪ Emergency Response communication</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
7	The solution will expand the use of geospatial data.	<ul style="list-style-type: none"> <li>▪ Time to complete inspection</li> <li>▪ Emergency Response mapping</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
8	The solution will leverage a master data management framework to better predict areas for enforcement and monitoring activities.	<ul style="list-style-type: none"> <li>▪ Time to respond to infractions</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
9	The solution will continue movement towards a risk-based inspection and case management focus.	<ul style="list-style-type: none"> <li>▪ Time to complete inspection</li> <li>▪ Number of investigations performed</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
10	The solution will enhance the Department's Emergency Response capabilities.	<ul style="list-style-type: none"> <li>▪ Emergency Response time</li> <li>▪ Level of effort</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
11	The solution will maintain a robust inspection history.	<ul style="list-style-type: none"> <li>▪ Time to complete inspection</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation



#	SUCCESS CRITERIA	HOW WILL THE CRITERIA BE MEASURED?	WHO BENEFITS?	REALIZATION DATE
12	The solution will support enterprise-wide reporting needs.	<ul style="list-style-type: none"> <li>▪ Time to generate reports</li> <li>▪ Time to retrieve data from other Divisions</li> <li>▪ Paper documents produced</li> <li>▪ Report accuracy</li> <li>▪ Time to issue suspension</li> <li>▪ Time to respond to FDLE alerts</li> <li>▪ Time to respond to complaint/grievance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
13	The solution will improve functionality and ease of use.	<ul style="list-style-type: none"> <li>▪ Number of administrative actions generated</li> <li>▪ Number of paper documents produced</li> <li>▪ Time to process application</li> <li>▪ Time to process payment</li> <li>▪ Employee satisfaction</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
14	The solution will simplify infrastructure and applications maintenance allowing for internal support.	<ul style="list-style-type: none"> <li>▪ Maintenance costs</li> <li>▪ FTEs</li> <li>▪ Number of redundant processes and applications</li> <li>▪ Security of information</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
15	The solution will support an enterprise master data strategy to reduce duplicative data.	<ul style="list-style-type: none"> <li>▪ Number of duplicate records</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation
16	The solution will increase security, stability, and recoverability with implementation of latest technology standards.	<ul style="list-style-type: none"> <li>▪ Number of data breaches</li> <li>▪ System outages</li> <li>▪ National, State, and Department technology standards compliance</li> <li>▪ ADA Compliance</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ State of Florida</li> </ul>	Upon implementation

**Exhibit 1-7: Key Performance Indicators**



# **FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**

## **AGRICULTURE AND CONSUMER SERVICES SYSTEM PROJECT**

### **BENEFITS REALIZATION PLAN**

Date: 05/31/2017  
Version: 100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
04/27/2017	North Highland	001	Initial draft
05/19/2017	North Highland	002	Updated based on FDACS' review
05/31/2017	North Highland	003	Final updates based on FDACS' final review
05/31/2017	North Highland	100	Final Version

### Quality Review

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## SECTION 1 INTRODUCTION AND EXECUTIVE SUMMARY

This document presents the Benefits Realization Plan (BRP) for the Florida Department of Agriculture and Consumer Services (FDACS, Department) for the new Agriculture and Consumer Services System (AgCSS). The BRP is a tool to help support realization of the considerable benefits that can accrue to the Department as a result of modernizing its regulatory capabilities via the enterprise regulatory system.

### 1.1 PROJECT BACKGROUND

FDACS' mission is to safeguard the public and support Florida's agricultural economy. To fulfill this mission, the Department is required to perform regulatory activities (application, licensure, compliance, inspection, and enforcement) across a diverse array of businesses, professions and individuals. The Department is faced with considerable challenges associated with the current functionality that supports these regulatory activities. Examples of the challenges faced with the current functionality include the following:

- Customers' (e.g., license holders, regulated businesses) inaccessibility to information adversely affecting interactions between the Department and consumers in carrying out regulatory activities
- Inefficient renewal process across numerous license types
- Limited usability of data
- Increasing customer requests and complaints without a standard tool that supports timely and consistent department responses, such as a customer relationship management (CRM) tool

Taken together, these challenges indicate a compelling need to replace the existing disparate regulatory systems with a single, enterprise-wide system that supports the Department's desire to operate more efficiently and effectively.

### 1.2 ADDRESSING THE CHALLENGES: THE NEW AGRICULTURE AND CONSUMER SERVICES SYSTEM

To effectively address these challenges, FDACS desires to streamline regulatory processes across all of its divisions and offices by implementing an enterprise-wide regulatory system supplemented by an improved revenue management component. The project will achieve this goal through a phased approach including three distinct releases of enterprise regulatory system functionality. Release 1 will include the following:

- The Division of Licensing (DoL) and all of its applications
- The Division of Administration's (DoA) Revenue Receipt Accounting (REV) system





- The Office of Agriculture Law Enforcement (AgLaw) regulatory investigations (supporting DoL only)

Once the new system is successfully designed, implemented, and running for DoL, DoA and AgLaw, the Department will proceed with onboarding of the remaining divisions over two subsequent releases.

Before Release 1 is fully developed and implemented, the remaining divisions' business processes will be mapped to the new system. This effort will increase engagement with divisions other than DoL, DoA and AgLaw by keeping them involved in the AgCSS effort prior to when their business processes are directly impacted. The various divisions will also provide direct input via surveys and focus groups on the core regulatory model being developed for enterprise use by all of FDACS.

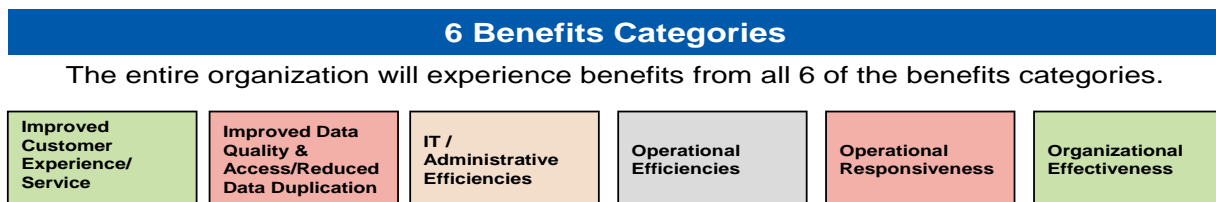
### 1.3 IMPACTS FROM IMPLEMENTING THE NEW AGRICULTURE AND CONSUMER SERVICES SYSTEM

Enterprise regulatory system benefits will result from automation, self-service, transparency of application progress, and other enhancements in the underlying regulatory business processes. These improvements are designed to create benefits in multiple ways, including lower operating costs and reduced timeframes from application to licensure. Exhibit 1 provides an overview of the benefits by release and identifies the various categories of impact.

## SUMMARY ACROSS THE ENTERPRISE



All divisions will benefit from AgCSS upon completion of SFY 2019-20. Decisions regarding which remaining divisions will participate in SFY 2018-19 vs. SFY 2019-20 have yet to be finalized.



**Exhibit 1: Overview of Benefits by Fiscal Year**



## 1.4 THE FULL SET OF ANTICIPATED BENEFITS

Exhibit 2 provides a summary of the benefits accruing to FDACS as a result of implementing the new enterprise regulatory system. Benefit impact information is organized by category of impact, and the table presents summaries of the benefits themselves, their respective impacts, and the various groups and entities that will be impacted. In short, the new system’s regulatory functionality, in concert with the Department’s updating its associated business processes, will transform FDACS into a flagship regulatory agency.

CATEGORY	SUMMARY OF BENEFITS	IMPACT/REALIZATION SUMMARY	GROUPS IMPACTED
<b>Improved Customer Experience/Service</b>	Multi-channel access to information and transparency; streamlined regulatory process with reduced touch points and decreased response time; and a single online payment portal.	Improved tracking abilities through increased standardization; better customer satisfaction due to improved response time and cross-program information sharing; and decreased customer frustration through more efficient payment processing.	FDACS, Legislature, Regulated Businesses and Industries, Public
<b>Improved Data Quality &amp; Access/ Reduced Data Duplication</b>	Improved program accountability through real-time access to data; increased visibility, reliable data through reduction of duplicate data, and eliminated redundant data collection.	Increased public transparency and accountability due to easily accessible data, master data management, and standardized processes; standardized data structures, reduction of duplicate data, and redundant data requests across programs.	FDACS, Legislature, Regulated Businesses and Industries, Public



CATEGORY	SUMMARY OF BENEFITS	IMPACT/REALIZATION SUMMARY	GROUPS IMPACTED
<b>IT/ Administrative Efficiencies</b>	More efficient administrative processing through improved processes; reduced complexity of the Department's regulatory system portfolio; simplified and reduced procurement efforts; reduced and less complex interface development; and improved system performance levels.	More efficient processing through the new AgCSS system, decrease in maintenance required for maintaining and modifying numerous regulatory systems; less complex applications and system software; more readily available contractor skill sets; reduced development for, and complexity of, interfaces; and improved performance levels for Administration's Revenue Receipt Accounting (REV) system.	FDACS, Regulated Businesses and Industries
<b>Operational Efficiencies</b>	Better customer experience due to improved cross-program processes and coordinated inspection scheduling; constant staff levels due to increased processing efficiency and eliminated need for temporary staffing; and increased percentage of licenses issued within statutory timeframes.	Increased response time due to cross program integrated data and real-time recorded data during mobile inspections; increased transparency for inspection scheduling; increased processing efficiency through standardization, achieving economies of scale, increased data accuracy, and cross-program data sharing.	FDACS, Legislature, Regulated Businesses and Industries, Public



CATEGORY	SUMMARY OF BENEFITS	IMPACT/REALIZATION SUMMARY	GROUPS IMPACTED
<b>Operational Responsiveness</b>	Improved emergency response capabilities; improved proactive behavior through improved predictive capabilities and master data management; and quicker response time via “configure and implement” capabilities.	Improved communication, data sharing, and speed in configuring systems during emergencies; increased emergency response metrics available for publication; improved response time through analytics and master data management for situations of concern; and improved development processes through reduction in manual system updates and increase in “configure and implement” processes.	FDACS, Legislature, Regulated Businesses and Industries, Public
<b>Organizational Effectiveness</b>	Improved cross-program area and regulatory responses due to improved communication, cooperation, and collaboration between FDACS program areas and divisions; increased regulatory management visibility; increased Department executive management program visibility through dashboards; enhanced FDACS and Departmental IT alignment resulting in improved business operations; and improved inspections through more easily accessible regulatory data.	Transparent inspection data across all FDACS program areas and the public resulting in improved coordination of activities across program areas; cross-divisional collaboration improving Best Management Practices (BMP) adherence and easing audit efforts; better decision-making through accessible and accurate information; quickly internalized vision and mission of FDACS through executive leadership communication; and more targeted inspections due to inspectors’ increased access to reliable data.	FDACS, Legislature, Regulated Businesses and Industries, Public

**Exhibit 2: Overview of Benefits by Category of Impact**



## 1.5 BENEFITS REALIZATION PLAN ACTIVITIES

Benefits realization is a process consisting of identification, definition, tracking, measuring, and optimization of the expected benefits from an investment in a new process or technology. These processes enable a business to determine if the anticipated benefits are worth the investment. The BRP provides an overview of the benefits associated with the enterprise regulatory system.

Benefits realization cannot begin until a process is in place – with strong leadership, broad understanding, and support from all stakeholders – to regularly obtain meaningful measurement of targeted metrics and direct the Department on how to best leverage the newly created functionality. The BRP is central to identifying and developing the processes for capturing and interpreting, both initially and on a continuing basis, information that provides insight into the extent to which the new system is producing/facilitating the intended benefits. Benefits realization activities will be performed in concert with Organizational Change Management activities to support the achievement of desired benefits.

## 1.6 GATHERING BASELINE DATA

Benefits realization management begins by taking several preparatory steps before the new AgCSS is deployed. One of these preparatory steps towards benefits realization includes developing a plan to measure baseline status for key activities, enabling accurate analysis of the current state and justifying further investment in the new AgCSS. Analyzing the current state accurately involves establishing baseline values for the various benefit measures. The following methodologies have been identified for gathering baseline data:

- Pre-Post Comparison of Key Operating Metrics
- Time Studies
- Customer Experience Surveys

The gathering of baseline data, using the methodologies listed above, is accomplished jointly by divisional staff and AgCSS project staff. Multiple working sessions have been and will be held with divisional staff to develop a working understanding of how to most efficiently gather baseline data. Once the systems integrator (SI) vendor has been selected for AgCSS implementation, baseline data collected will be reviewed with the SI to assess the extent to which the SI's unique solution supports capture of the same data as is contained in the baseline.

## 1.7 PLAN MODIFICATIONS BASED ON SELECTED SOLUTION

The project team is prepared to adjust the BRP as necessary when the SI is selected for AgCSS implementation. This is due to aspects of the selected vendor's unique solution that must be taken into account by the BRP. For example, data collection approaches may require adjustment given how the new system stores and maintains key data. Therefore, benefits



realization activities will be closely coordinated with the selected SI vendor in order to ensure concordance between the selected system and the BRP.

## **1.8 PROCESS FOR PLAN MODIFICATIONS DUE TO FUTURE EVENTS**

The project team will also adjust the BRP as necessary for currently unknown future events that may affect the Department. The public sector and regulatory environment can be fluid and therefore the need exists for an agile approach to benefits realization, understanding that the BRP is a “living” document subject to change. To help ensure the BRP is appropriate for the current environment, the BRP will be reviewed regularly for possible updates.

## **1.9 NATURE AND FREQUENCY OF BENEFITS REALIZATION REPORTING**

BRP reporting activities require coordination between the owners of the processes being measured, those responsible for maintaining the data in question, and the AgCSS project team. At a yet-to-be-determined time following implementation of Release 1 of AgCSS, periodic reporting on benefit measurement will begin. With respect to the frequency of reporting, it has yet to be determined whether reporting will be monthly, quarterly or annually.

## **1.10 THE BENEFITS REALIZATION PLAN: HELPING SHAPE THE FUTURE**

AgCSS can significantly improve the Department’s ability to better serve its employees, the industries it regulates and Florida citizens. To achieve the desired outcome of a successful system implementation that will enable numerous enhancements and improvements with significant monetary and intrinsic benefits, a thoughtful, methodical approach is required that involves all applicable stakeholders, provides project management best practices, and is developed specifically to FDACS’ unique regulatory environment. The Benefits Realization Plan provides this approach, developed by a team comprised of industry subject matter experts, FDACS employees and stakeholders, and regulatory professionals.



## SECTION 2      APPROACH AND ASSUMPTIONS

This section gives context for why the Benefits Realization Plan is being produced. Specifically, it explains the BRP's purpose, provides a high-level description of the Benefits Realization Plan, and states the scope of the document.

### 2.1    BENEFITS REALIZATION APPROACH

The current state of FDACS' regulatory environment has been assessed to understand what the Department seeks to gain from an enterprise-wide regulatory system. In order to identify and develop the content needed for an actionable Benefits Realization Plan, a multi-faceted approach was employed to gather and synthesize information characterized by reliable methodologies and heavy stakeholder involvement. The approach consists of the following:

- Identifying the anticipated benefits of the new enterprise regulatory system
- Assessing the anticipated benefits of the new enterprise regulatory system
- Modifying the BRP as appropriate based on the unique solution that the selected SI vendor will implement

This section provides further context to the approach for assessing the 25 anticipated benefits of AgCSS in order to provide an actionable Benefits Realization Plan for the Department. Exhibit 3 summarizes the approach employed for the Benefits Realization Plan.



**Exhibit 3: Benefits Realization Approach**



Although the phases remain clearly defined, an iterative approach to benefits realization allows the team to revisit phases as necessary throughout the project in Release 2 and Release 3. The approach depicted above primarily serves as a framework for ensuring activities remain in scope and reach completion timely.

## 2.2 BENEFITS REALIZATION APPROACH DETAILS

The following sections describe in further detail the approach for creating the Benefits Realization Plan.

### 2.2.1 APPROACH PHASES

Benefits realization activities are conducted in a methodical manner to create a reliable foundation for benefit measurement and management activities. The phasing structure is an efficient way to:

- Do the work in a logical sequence which produces valuable results and informative documents throughout the project.
- Group activities for timely completion and submission of the Benefits Realization Plan at agreed upon intervals.

The approach phases are:

- **Initiate** – Begins with confirmation of the benefits realization approach and continues through project kick-off to the Divisions
- **Discover** – Includes confirmation of the 25 benefits and determination of baseline data collection methodologies
- **Analyze** – Analysis of the 25 benefits, including baseline data collection and calculation, and ongoing analysis
- **Reporting/Managing Ongoing Activities** – Submission of updated Benefits Realization Plan and reporting documents at agreed upon intervals

The following sections provide further detail on each of the approach phases.

### 2.2.2 INITIATE



The Initiate phase allows benefits realization activities to begin in a manner that enables project success. During this phase, the project team met with project sponsors to validate the scope of benefits realization activities, the approach to benefits measurement, define overall goals for the Benefits Realization Plan, and identify key stakeholders. Most of the activities will not be repeated in Release 2 and Release 3. However, certain aspects of the Initiate phase will be repeated, such as project kickoff meetings with the divisions associated with each release.





### 2.2.3 DISCOVER

#### Discover

During the Discover phase, the 25 anticipated benefits of AgCSS were reviewed with key stakeholders and methodologies appropriate for measuring each individual benefit were developed. Activities in the Discover phase will only be revisited if additional benefits are identified. If additional benefits are identified after submission of the BRP, the BRP will be updated accordingly.

### 2.2.4 ANALYZE

#### Analyze

The Analyze phase involves the collection of baseline data for each of the 25 benefits according to the approved data collection methodologies. The baseline data collected during this phase will enable the Department to assess the enterprise regulatory system's value in the future in comparison with post-implementation data. Additionally, the project team will determine the ongoing benefit measurement processes necessary to fully realize the enterprise regulatory system benefits after implementation.

The team will conduct the following data collection methodologies during this phase:

- Pre-Post Comparison of Key Operating Metrics
- Time Studies
- Customer Experience Surveys

Further detail of each methodology is provided later in this document. This phase will be repeated in Release 2 and Release 3 of the project once the Department receives funding to implement AgCSS in its entirety.

### 2.2.5 REPORTING/MANAGING ONGOING ACTIVITIES

#### Reporting/Managing Ongoing Activities

In the Reporting/Managing Ongoing Activities phase, the Benefits Realization Plan will be executed. The content contained in the Benefits Realization Plan includes the following:

- Benefit Name/Description
- Release Status (Release 1, 2 or 3)
- Category (e.g., Organizational Effectiveness)
- Owner
- Benefit Recipients
- How Benefits are Realized
- Method of Benefit Calculation
- Baseline Data to be Captured



- 
- Responsibility for Measurement of Baseline Data
  - Responsibility for Ongoing Benefit Measurement
  - Timing of Benefit Measurements
  - Post-Implementation Data to be Captured
  - Date Benefit Realized

The Benefits Realization Plan is a “living” document subject to change. In order to help ensure that the BRP is appropriate for the current environment, the Plan will be reviewed regularly for potential updates. Additionally, the project team will work with the selected SI vendor to update the BRP according to the vendor’s unique enterprise-wide regulatory solution.

### 2.3 ASSUMPTIONS

The Benefits Realization Plan and its collection of activities is based on the following assumptions:

- The AgCSS project team will receive the necessary assistance from FDACS IT and divisional staff in gathering data related to all benefits realization activities.
- The Department will provide the requested data in a timely manner.
- The Department and the AgCSS project team will collaboratively identify and modify the benefits to be realized.
- The Department and the AgCSS project team will collaboratively work to gain stakeholder acceptance of the identified benefits to be realized.
- The SI will work with the AgCSS project team to confirm and/or modify the benefits identified; this could also result in new benefits being identified.
- The SI will work with the AgCSS project team to modify, as needed, the performance baselines and targets for each benefit.
- The AgCSS project team and the SI will work together to establish the performance baselines and targets for any additional benefits that are defined.
- In any system, benefit measurements are dependent on the accuracy of data used in making benefit calculations.









## SECTION 3 BENEFITS IDENTIFICATION AND VALIDATION

This section defines the approved set of project benefits to be tracked and measured over time. The process involves validating already identified benefits, as well as identifying additional benefits through analysis of sources such as existing key performance indicators (KPIs), and documented requirements for the new system.

### 3.1 BENEFIT DESCRIPTIONS

The 25 anticipated benefits are grouped into categories according to common themes apparent across the benefits. Exhibit 4 organizes each of the 25 anticipated benefits according to the following categories:

CATEGORY	
Improved Customer Experience/Service	
Improved Data Quality & Access/ Reduced Data Duplication	
IT/Administrative Efficiencies	
Operational Efficiencies	
Operational Responsiveness	
Organizational Effectiveness	

**Exhibit 4: Benefit Category Descriptions**

Exhibit 5 below groups each of the anticipated benefits according to the categories depicted above. Each benefit affects particular groups, and this is listed. Benefit impacts to be realized upon completion of AgCSS are also indicated.



CATEGORY	BENEFIT	REALIZATION	GROUPS IMPACTED
<p style="text-align: center;"><b>Improved Customer Experience/ Service</b></p>	<p>Improved customer experience due to multi-channel access to information and transparency regarding the status of their request.</p>	<p>Improve ability to track and communicate the progress, timeline, and status of regulatory processes (licensure, inspections, permitting) to the public and regulated entities through increased standardization in capture of regulatory data and improved reporting.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated businesses and industries</li> <li>▪ Public</li> </ul>
	<p>A streamlined regulatory process that reduces touch points for customers, decreases response time, and increases visibility leading to an improved customer experience and increased customer satisfaction with the Department.</p>	<p>Customer satisfaction is improved in the following ways:            By minimizing the number of “touch points” between the initial contact point with the Department and the provision of the information needed.            By reducing the response-time to provide cross-program area regulatory information.            By increasing the breadth of cross-program area regulatory information that can be quickly provided.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated businesses and industries</li> <li>▪ Public</li> </ul>
	<p>Single online portal for customers for an authorization, license, renewal, certification, registration, or permit which the Department regulates.</p>	<p>Minimize and standardize access points and methods leading to decreased customer frustration stemming from having multiple accounts, and increased customer satisfaction through better customer service related to the single online portal.</p>	<ul style="list-style-type: none"> <li>▪ Regulated businesses and industries</li> </ul>



CATEGORY	BENEFIT	REALIZATION	GROUPS IMPACTED
<p><b>Improved Data Quality &amp; Access/ Reduced Data Duplication</b></p>	<p>Improved program accountability through real-time access to data; increased visibility into how the Department performs its regulatory activities.</p>	<p>Real-time access for the public to more data on how FDACS conducts its regulatory activities will result in added transparency and accountability of the regulatory processes.</p> <p>Consistency in the structure of data across program areas allows for consistent sharing of data. This enables businesses and the public to initiate their own actions to react to, resolve, or manage a given issue or situation.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated businesses and industries</li> <li>▪ Public</li> </ul>
	<p>Increased data quality and accuracy through reduction in duplicate data.</p>	<p>There is duplication of information for a single regulated business entity in multiple programs areas. The proposed solution will allow for this information, gathered for an individual FDACS regulated entity, to be updated and kept correct in a single system and available to all applicable FDACS program areas.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated businesses and industries</li> <li>▪ Public</li> </ul>
	<p>Eliminate redundant data collection; e.g., for customers with multiple permitting and licensing activities.</p>	<p>The proposed solution will integrate data across program areas, eliminating requests for data that has already been provided.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated businesses and industries</li> <li>▪ Public</li> </ul>



CATEGORY	BENEFIT	REALIZATION	GROUPS IMPACTED
<b>IT/ Administrative Efficiencies</b>	Finance & Accounting staff have worked with a legacy system for years, and are ready to improve efficiency via a new regulatory system. The new AgCSS system, which will promote more efficient processing, should contribute to a more positive user experience for employees in performing their daily activities.	The new AgCSS system will allow customers to process payments themselves online and will retain user information so that the customer does not have to repeat the process entirely when obtaining a new license. This, along with other functions of the AgCSS system, will improve processing time, consequentially improving customer experience.	<ul style="list-style-type: none"> <li>▪ FDACS</li> </ul>
	Reduced complexity of the Department's regulatory system portfolio.	Through the use of one master regulatory lifecycle management system, the complexity involved in maintaining and modifying multiple regulatory systems is removed; the complexity of interfaces between the different regulatory processes is reduced.	<ul style="list-style-type: none"> <li>▪ FDACS</li> </ul>
	Simplify future development and procurement efforts in the regulatory area.	Through the use of one master regulatory lifecycle management system and platform standardization, the complexity of applications, software and system software will be reduced; the complexity of software and/or system software and/or contractor skill sets is simplified.	<ul style="list-style-type: none"> <li>▪ FDACS</li> </ul>



CATEGORY	BENEFIT	REALIZATION	GROUPS IMPACTED
	<p>Reduced complexity of, and amount of, custom development associated with interfaces to non-AgCSS applications.</p>	<p>Through the use of one master regulatory lifecycle management system, the complexity and number of interfaces required in non-AgCSS applications to the AgCSS functions and data is reduced; consequently, development time and complexity of those applications is reduced.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> </ul>
	<p>The new AgCSS system will support a variety of process improvements that will improve processing efficiency in Finance &amp; Accounting.</p>	<p>The new AgCSS system will improve Finance &amp; Accounting efficiency by eliminating separate revenue management/ tracking systems, thereby reducing transaction processing time.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>
	<p>The current revenue accounting system (REV) can be quite slow with multiple processes running at the same time. The new AgCSS is expected to improve system performance levels, allowing for more efficient processing.</p>	<p>The current revenue accounting system is over 20 years old, and consistently subjects users to system lag time. This compounds challenges associated with processing manual payments, having to import credit card transactions, and coupon processing. The new AgCSS is expected to notably improve performance levels.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> </ul>
<p><b>Operational Efficiencies</b></p>	<p>More timely responses to requests for cross-program area information.</p>	<p>The proposed solution will integrate data across program areas, thereby facilitating more rapid responses. Furthermore, the mobile inspection components of the proposed solution will help mitigate lag times as data will be recorded in real-time.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>



CATEGORY	BENEFIT	REALIZATION	GROUPS IMPACTED
	Coordinated inspection scheduling to facilitate cross-program tasking where appropriate.	The proposed solution will maximize inspector resources by determining when an inspection is due for a business and requesting or deploying an inspector to that site regardless of the program area.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Businesses and Industries</li> </ul>
	Increased rate of license application processing per individual staff person, allowing for staffing levels to remain constant (i.e., eliminating/reducing the need to augment capacity with temporary staffing resources).	The proposed solution will facilitate more efficient processing by virtue of both customer interface and process standardization, achieving economies of scale, increasing data accuracy by reducing common errors, and cross-program data sharing.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>
	Increased percentage of licenses issued within statutory timeframes.	The proposed solution will facilitate more efficient processing by virtue of both customer interface and process standardization, achieving economies of scale, increasing data accuracy by reducing common errors, and cross-program data sharing. Licensing decisions will routinely be made well-within statutory time limits.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>
<b>Operational Responsiveness</b>	Increased confidence, within the Department and on the part of the general public, in the Department's emergency response capabilities.	<p>This benefit is realized in the following ways:</p> <p>Additional communication and data sharing within FDACS during emergency situations.</p> <p>Increased speed in configuring systems to manage emergency situations.</p> <p>Increased metrics related to emergency situation response available for publication.</p>	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>





CATEGORY	BENEFIT	REALIZATION	GROUPS IMPACTED
	Enhanced predictive capabilities, resulting from master data management and shared access to data, allow the Department to better anticipate and respond to situations/events.	Through enterprise master data management and shared access to data, it is possible to utilize analytics on cross-program area regulatory data to anticipate or quickly identify situations of concern, pinpoint areas for Department response, and model and forecast effective action options; responses can be quickly implemented across the Department.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>
	The ability to respond rapidly to new regulatory responsibilities via a "configure and implement" capability (as opposed to having to develop new functionality).	Rather than having to develop, or copy-and-adjust, applications and data structures to handle new regulatory programs, an immediate "configure and implement" process within the standard regulatory application framework is possible; where data already exists, it can be shared across program areas.	<ul style="list-style-type: none"> <li>▪ FDACS</li> </ul>
<b>Organizational Effectiveness</b>	More comprehensive cross-program area responses to requests for information.	The proposed solution will allow for this information, gathered from individual FDACS inspections, to be available to all FDACS program areas and the public.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>
	Increased visibility into whether a regulated entity and/or site is being managed effectively.	Cross-divisional collaboration to improve Best Management Practices (BMP) adherence and ease audit efforts.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>



CATEGORY	BENEFIT	REALIZATION	GROUPS IMPACTED
	Increased visibility for Department executive management into program area metrics via dashboard functionality, facilitating a more proactive response to operational issues.	Currently, executive management has to go to each division to gather information, for instance, on the average number of inspections completed monthly by FDACS. Having complete and timely information will allow executive management to make informed decisions.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Business and Industries</li> <li>▪ Public</li> </ul>
	Enhanced alignment between FDACS' regulatory systems and the Department's IT Strategic Plan, leading to a more responsive IT function and subsequently more effective business operations.	FDACS quickly and effectively internalizes the vision and mission as communicated by executive leadership.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Legislature</li> </ul>
	A more effective regulatory response due to improved communication, cooperation, and collaboration of regulatory information between FDACS program areas and divisions.	The proposed solution will allow for this information, gathered from individual FDACS inspections, to be available to all FDACS program areas, thereby allowing for coordination of activities across program areas.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Businesses and Industries</li> </ul>
	The ability to strategically target inspections to identified areas of risk due to increased access to a more comprehensive set of inspection/regulatory data.	With the Department's regulatory data managed in a single system, all inspectors have access to all information regarding the site, helping target inspection needs.	<ul style="list-style-type: none"> <li>▪ FDACS</li> <li>▪ Regulated Businesses and Industries</li> <li>▪ Public</li> </ul>

**Exhibit 5: Benefit Category and Associated Benefits, Realizations, and Impacted Groups**



Clearly, significant benefits are anticipated from the new AgCSS. The following section describes the baseline data collection processes that will be used to assist the Department with further assessing the value of the new AgCSS.

### 3.2 CLASSIFICATION OF BENEFITS: TANGIBLE VERSUS INTANGIBLE

The set of 25 anticipated benefits contains both tangible and intangible benefits. Exhibit 6 provides examples of tangible versus intangible benefits.

TANGIBLE	INTANGIBLE
Faster Response Time	Better Management Information
Reduced Efforts/Speed of Working	Improved Communications
Avoided Costs	Greater Organizational Flexibility

**Exhibit 6: Tangible and Intangible Classifications**



## SECTION 4 DEFINE BASELINE DATA COLLECTION PROCESSES

Baseline data collection provides an opportunity to establish the current state of a process prior to a process, technology, or resource change in order to create a standard basis against which a future change is measured. Subsequently comparing the current (i.e., baseline) state to the future state provides the evidence for determining if the change achieved the desired outcome. Baseline data collection can be gathered through both quantifiable and qualitative methods, allowing both tangible and intangible benefits to be realized in a processes' future state. Essentially, baseline data collection is a methodical process of data identification and collection that enables an organization to determine the value of a new process, technology, or structure.

Prior to determining baseline data methodologies, the AgCSS project team identified 25 anticipated benefits of the enterprise regulatory system. The project team is collecting baseline data on specific FDACS processes that are associated with these 25 benefits so that the value of the investment in the enterprise regulatory system can be assessed. This section provides a description of the approaches that the project team has deemed appropriate for collecting baseline data on the 25 identified benefits. These approaches are listed in the Benefits Realization Workbook in further detail.

### 4.1 DESCRIPTION OF BASELINE DATA METHODOLOGIES

Benefits realization management begins by taking several preparatory steps before the new enterprise regulatory system is deployed. One of these preparatory steps towards benefits realization includes developing a plan to measure baseline status for key activities, enabling the project team to analyze the current state accurately and to justify further investment in the enterprise regulatory system. Analyzing the current state accurately involves establishing baseline values for the various benefit measures. The following methodologies have been identified for gathering baseline enterprise regulatory system data:

- Pre-Post Comparison of Key Operating Metrics
- Time Studies
- Customer Experience Surveys

The following sections describe these methodologies in further detail.

#### 4.1.1 *PRE-POST COMPARISON OF KEY OPERATING METRICS*

Pre-post comparison of key operating metrics is the general theory supporting baseline data collection – the process of comparing pre-process change data against post-process change data in order to determine the value of a new process, technology, or structure. Pre-post comparison of key operating metrics primarily utilizes quantifiable data in order to fully realize the benefits of a process change. The project team will leverage existing FDACS data as much as possible for benefit measurement. When no data is available for the project team to leverage, the team will conduct time studies or administer customer experience surveys. The Benefits Realization Workbook indicates each benefit that the project team will measure through pre-post comparison of key operating metrics and specifies the pre-implementation and post-implementation data the team will analyze.



#### **4.1.2 TIME STUDIES**

One of the primary reasons for implementing the new AgCSS is to enhance the efficiency of regulatory processes. A desired outcome of the AgCSS is to decrease the amount of time it takes to perform regulatory functions across the Department, such as application processing/license issuance or inspections. For example, the current license issuance processes are burdened with multiple disparate systems, high backlog, and an inefficient application review process, resulting in prolonged delays in the issuance of licenses. Several of the 25 anticipated benefits address these current challenges, and therefore, must be concretely measured in order to ensure the Department has achieved the desired outcome of enhanced regulatory functions. The AgCSS project team has determined that utilizing time studies will enable the Department to assess if the desired outcome of enhanced regulatory functions is met in the future enterprise regulatory system.

Time studies are often used when data is needed to fully understand the length of time required in order to complete a particular process, assuming that the process being studied is habitual and the current work environment is representative of a normal workday. The AgCSS project team expects AgCSS to decrease processing time for several functions across the Department. Utilizing time studies to study these processes before and after implementation will provide the Department with tangible benefits to accurately capture the impact of certain benefits.

The new system is expected to increase organizational effectiveness, responsiveness, and efficiency through various process changes. For example:

- Dashboard functionalities will provide transparent program area metrics.
- A single enterprise regulatory system will eliminate duplicate data across several disparate systems.
- A single enterprise regulatory system will decrease maintenance of multiple regulatory systems.

Each of these examples can be explored and proven through time study comparisons. The Benefits Realization Workbook indicates each benefit measured using time studies.

#### **4.1.3 CUSTOMER EXPERIENCE SURVEYS**

The new AgCSS will improve customer experience through improving each of the identified categories of benefits. For example, by improving operational efficiency through integrating data across program areas, the Department can improve cross-program responses and subsequently decrease the amount of complaints from customers. By enabling executive management greater visibility into each of the program areas via AgCSS, management can proactively, rather than reactively, respond to challenges and complaints. A single online portal will enable customers to interact with the Department through only one account, reducing the number of customer complaints regarding payments.

Customer experience surveys provide an opportunity for the customer to provide further insight, beyond available data, regarding the effectiveness of business and system processes. Although the benefit of using customer experience surveys is highly intangible, the context that customer experience surveys provide in conjunction with quantifiable data provides an invaluable holistic overview of a process' impact. Customer experience surveys at FDACS will allow the Department to develop a more comprehensive understanding of how effectively the different divisions are fulfilling their regulatory duties for their stakeholders, such as the public and related entities, so that the Department is able to improve processes as necessary.



Several of the 25 anticipated benefits would improve customer experience. For example:

- Customer's multi-channel access to information and transparency regarding the status of their request
- Executive management's ability to track and communicate the progress, timeline, and status of regulatory processes
- An online portal enabling customers to interact with the Department through a single account regarding authorizations, license applications, license renewals, certifications, registrations, or permits which the Department regulates

Each of these examples can be explored through customer experience surveys. The Benefits Realization Workbook indicates each benefit measured through customer experience surveys and specifies the subject areas of interest to the AgCSS project team.

## 4.2 SPECIFIC BASELINE DATA COLLECTION EXAMPLES

The following sections provide specific examples for each baseline data collection methodology from the Benefits Realization Plan. Please refer to the BRP to review the specific methodology that the AgCSS project team plans to leverage for each benefit.

### 4.2.1 *PRE-POST COMPARISON OF KEY OPERATING METRICS EXAMPLE*

Benefit #19, "Increased Rate of License Application Processing Per Individual Staff Person, Allowing for Staffing Levels to Remain Constant (i.e., eliminating/reducing the need to augment capacity with temporary staffing resources)," is a tangible benefit anticipated to improve operational efficiencies for FDACS, regulated businesses and industries, and the public. The proposed solution will facilitate more efficient processing by virtue of process standardization, achieving economies of scale, increased data accuracy, and cross-program data sharing. As this benefit is concerned specifically with the rate of licenses processed per hour and the number of temporary staffing resources, which are metrics currently being tracked, the AgCSS project team will gather baseline data by comparing pre-post comparison of key operating metrics. Exhibit 7 provides details regarding this benefit's methodology.

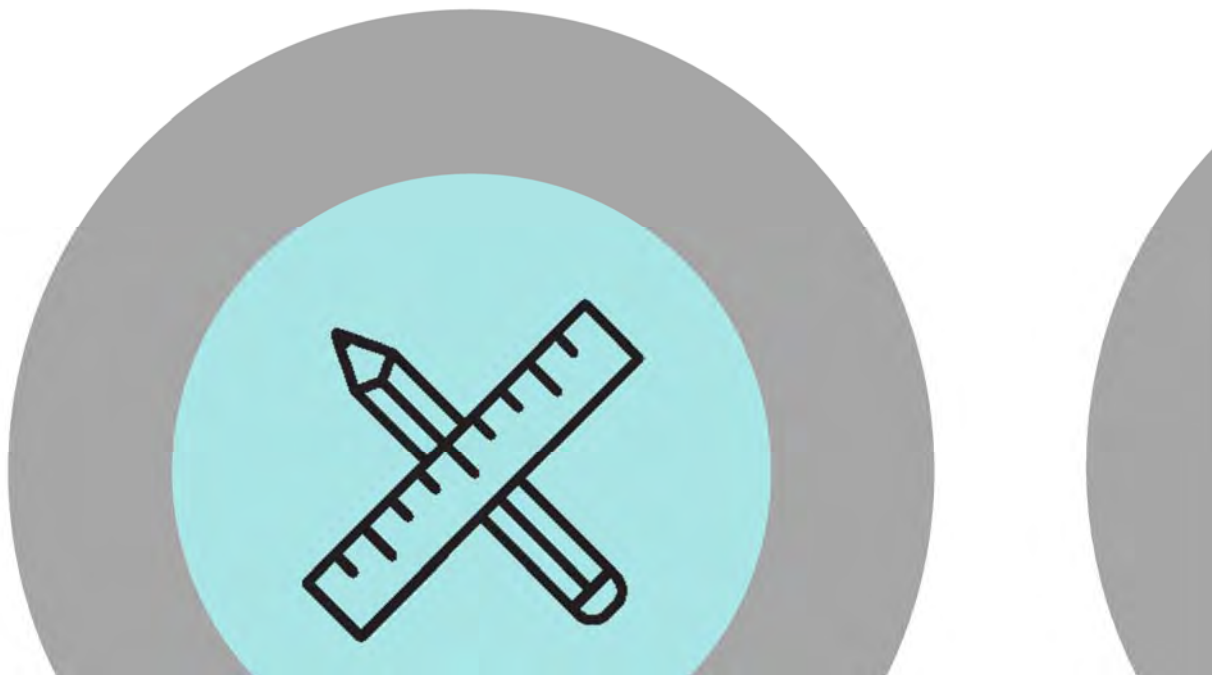


### Exhibit 7: Pre-Post Comparison of Key Operating Metrics Example

The AgCSS project team will begin by gathering the pre-AgCSS hourly cost of license application processing per individual staff person for a given period and the pre-AgCSS cost (including count) of temporary staffing resources during a given period. After AgCSS is implemented, the project team will calculate the hourly cost of license application processing per individual staff person for a given period and the pre-AgCSS cost of temporary staffing resources during a given period. In order to assess if the rate of license application processing per person actually increased (and therefore the cost of processing is decreased), the team will compare pre-AgCSS data with post-AgCSS data. A desired outcome would yield a decrease in the hourly cost of license application processing per individual staff person for a given period and a decrease, preferably elimination, of the need for temporary staffing resources during a given period.

#### 4.2.2 TIME STUDY EXAMPLE

Benefit #21, “A More Effective Regulatory Response Due to Improved Communication, Cooperation, and Collaboration of Regulatory Information between FDACS Program Areas and Divisions,” is a tangible benefit anticipated to improve organizational effectiveness for FDACS and regulated businesses and industries. The proposed enterprise regulatory system will allow for regulatory information, gathered from individual FDACS inspections, to be available to all FDACS program areas, thereby allowing for coordination of activities across program areas. As this benefit aims to improve response time, which is a metric not currently being gathered by FDACS, the project team will gather baseline data through utilizing a time study. Exhibit 8 provides details regarding this benefit’s methodology.



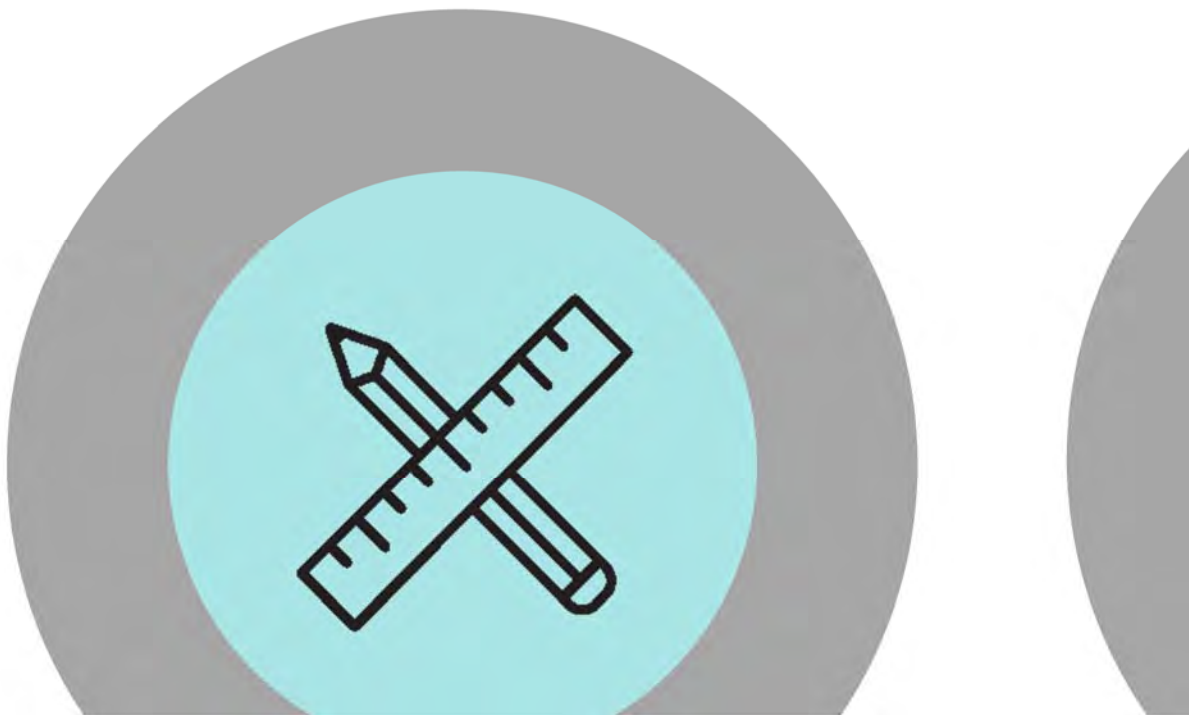
### Exhibit 8: Time Study Example

The AgCSS project team will begin by observing and documenting the amount of time required preparing for and conducting inspections (past the initial inspection) of regulated entities. After the enterprise regulatory system is implemented, the project team will observe and document amount of time required preparing for and conducting inspections (past the initial inspection) of regulated entities. In order to understand if the regulatory response at FDACS actually improved, the project team will compare the difference between the amount of time required pre-implementation preparing for and conducting inspections with the amount of time required post-implementation preparing for and conducting inspections. If the amount of time decreased, the desired outcome for this benefit was achieved.

#### **4.2.3 CUSTOMER EXPERIENCE SURVEY EXAMPLE**

Benefit #12, "Improved Customer Experience Due to Multi-Channel Access to Information and Transparency Regarding the Status of Their Request," is an intangible benefit anticipated to improve customer experience and service for FDACS, regulated business and industries, and the public. AgCSS will improve management's ability to track and communicate the progress, timeline, and status of regulatory processes (licensure, inspections, permitting) to the public and regulated entities through increased standardization in capture of regulatory data and improved reporting. Because improved customer experience is difficult to quantify, the AgCSS project team will gather baseline data for this benefit by distributing customer experience surveys. Exhibit 9 provides details regarding this benefit's methodology.





### Exhibit 9: Customer Experience Survey Example

The project team will administer a pre-AgCSS survey with the public and regulated entities that assesses the Department's level of effectiveness at conducting regulatory activities (e.g., licensing, inspections, permitting) across multiple dimensions. Respondent ratings (the public and regulated entities) of the Department's level of effectiveness at conducting regulatory activities will serve as the baseline. After AgCSS is implemented, the project team will administer a post-AgCSS survey with the public and regulated entities that assesses the Department's level of effectiveness at conducting regulatory activities. In order to determine if customer experience has truly improved, pre-AgCSS respondent ratings will be compared against the post-AgCSS respondent ratings. If the respondent ratings from the post-AgCSS surveys are more positive than the pre-AgCSS respondent ratings, the desired outcome was achieved.



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## SECTION 5 ONGOING DATA COLLECTION/BENEFIT MEASUREMENT

This section addresses the ongoing data collection and benefit measurement process for the new AgCSS. This process correlates with the BRP's purpose as remaining a living, breathing document.

### 5.1 ONGOING BENEFITS MANAGEMENT

The realization of benefits cannot begin until a process is in place – with strong leadership, broad understanding, and support from all stakeholders – to regularly obtain meaningful measurements of targeted metrics and direct the Department on how to best leverage this new functionality. Benefits management, at a high level, includes the following activities:

- Managing AgCSS implementation to achieve identified benefits
- Investigating, post-implementation of AgCSS, whether benefits have been achieved or not

Successful benefits management creates a well-designed and well-constructed set of benefits that have been disaggregated and quantified as appropriate. It is common for multiple projects to occur simultaneously at any organization, which may cause overlapping effects on the business. Additionally, external environmental factors may create a state of uncertainty or unanticipated outcomes to a particular process. Disaggregation of the benefits focuses on determining the actual impact of the project on an organization, despite overlapping projects and external factors.

Benefits management is the process by which an organization ensures that the project delivers the anticipated outcomes. Benefits management should answer the following questions:

- Why are we doing this?
- What business objective will this project help to meet?
- Have we defined all of the benefits we're expecting?
- Have we justified the time and expense of the project?
- How will we measure the benefits?
- Is the project still valid?
- Are the benefits still relevant?

Following the Benefits Realization Plan will enable FDACS to ensure that the AgCSS project achieves the desired outcomes, paving the way for successful future releases of AgCSS. A central component of the Benefits Realization Plan pertains to managing the realization of the benefits throughout the remainder of AgCSS implementation and beyond. Despite additional time and resources required to successfully execute the BRP, having the Plan in place early in the project lowers the overall risk of the project.



## 5.2 ONGOING BENEFITS MANAGEMENT PROCESS

In order to support full realization of the identified benefits, an ongoing benefits management process should be incorporated. For FDACS, the benefit owner will be a named individual who takes the responsibility, working with the project team, for making sure that an identified business benefit of a project is realized. Ideally, the benefit owner will be an individual who gains advantage from the business benefit, is familiar with the subject area, and has adequate authority to ensure benefit realization within the organization. The FDACS project sponsor has overall responsibility for benefits realization. However, a project's sponsor is typically not likely to be directly involved in the realization of specific benefits; consequentially, this creates the need for specific benefit owners. Ongoing benefits management includes scheduled reviews at set milestones, unscheduled reviews triggered by external factors, and a final review after implementation is complete. Exhibit 10 displays the project team's suggested process for ongoing benefits management.



**Exhibit 10: Ongoing Benefits Management Process**

As depicted in Exhibit 10, ongoing benefits management and regular monitoring of the benefits should be activities conducted regularly. Refer to the Benefits Realization Plan workbook for additional information.



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## SECTION 6      PROCESS FOR MODIFYING BENEFITS/BENEFIT MEASUREMENT

This section addresses the updating of the BRP, if indicated. For example, if one or more additional measures are deemed appropriate for inclusion, the Benefits Realization Plan will need to be modified. **Note:** Additional measures will be incorporated into the BRP only after approval by stakeholders.

### 6.1 BENEFITS REALIZATION PLAN MODIFICATION

The AgCSS project team is prepared to adjust the Benefits Realization Plan as necessary for currently unknown future events that may affect the Department. The regulatory environment creates the need for an agile approach to benefits realization, understanding that the BRP is a “living” document subject to change. Therefore, in order to help ensure that the BRP is appropriate for the current environment, the BRP will be reviewed regularly for potential updates.

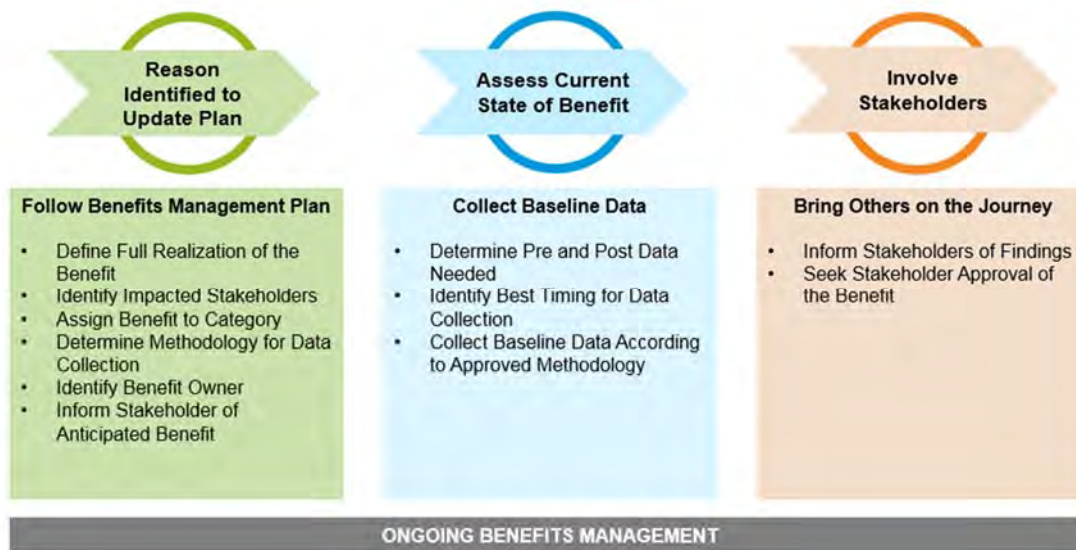
It is important for the Benefits Realization Plan to remain current, so that the BRP can be an actionable document for the Department. Various situations create the need for the Department to modify the BRP. For example, as the SI vendor provides a unique enterprise regulatory solution, the project progresses, and additional divisions experience associated process changes, the Department may wish to modify the 25 benefits and the associated data collection methodologies. The following scenarios are specific examples that indicate a need to either reassess or modify benefits and associated measurements:

- Unique SI vendor enterprise regulatory system with unanticipated impacts/benefits.
- A division’s identification of additional benefits in Release 2 and Release 3.
- Legislative mandates requiring a process or technological change.

The Department should note that although FDACS’ current state has been examined, AgCSS requirements captured, and worked with stakeholders to solidify the 25 benefits, it is highly probable that more benefits will be discovered in future releases of the project. After the SI vendor is chosen, unique aspects of the new enterprise regulatory system will be known/better understood. Additionally, more benefits may be discovered as the remaining divisions change their processes, creating an opportunity to further discuss the benefits with each division individually and observe the associated process changes in depth.

### 6.2 BENEFITS REALIZATION PLAN MODIFICATION PROCESS

To ensure that benefits are truly representative of anticipated outcomes, a standard benefit modification process should be incorporated into the ongoing benefits management activities for AgCSS. Exhibit 11 displays the suggested process for benefits modification.



### Exhibit 11: Benefits Realization Plan Modification Process

As depicted in Exhibit 11, continual updating of the Plan and regular monitoring of the benefits should be activities conducted regularly. Doing so will ensure all potential benefits are captured and that stakeholders have a holistic understanding of the new AgCSS. Refer to the BRP workbook for additional information.

CBAForm 1 - Net Tangible Benefits

Agency	FDACS	Project	Agriculture and Consumer Services System
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Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency <i>(Operations Only -- No Project Costs)</i>	Prior			FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22		
	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)	(a)	(b)	(c) = (a) + (b)
	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project	Existing Program Costs	Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency Managed Staff	\$121,692,526	\$0	\$121,692,526	\$121,692,526	\$0	\$121,692,526	\$121,692,526	\$0	\$121,692,526	\$121,692,526	\$0	\$121,692,526	\$121,692,526	\$0	\$121,692,526
A.b Total Staff	2,683	0	2,683	2,683	0	2,683	2,683	0	2,683	2,683	0	2,683	2,683	0	2,683
A-1.a. State FTEs (Salaries & Benefits)	\$113,724,062	\$0	\$113,724,062	\$113,724,062	\$0	\$113,724,062	\$113,724,062	\$0	\$113,724,062	\$113,724,062	\$0	\$113,724,062	\$113,724,062	\$0	\$113,724,062
A-1.b. State FTEs (# FTEs)	2,144	0	2,144	2,144	0	2,144	2,144	0	2,144	2,144	0	2,144	2,144	0	2,144
A-2.a. OPS FTEs (Salaries)	\$7,968,464	\$0	\$7,968,464	\$7,968,464	\$0	\$7,968,464	\$7,968,464	\$0	\$7,968,464	\$7,968,464	\$0	\$7,968,464	\$7,968,464	\$0	\$7,968,464
A-2.b. OPS FTEs (# FTEs)	539	0	539	539	0	539	539	0	539	539	0	539	539	0	539
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of Contract FTEs)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
B. Application Maintenance Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-4. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility -- Costs (including PDC services)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E. Others -- Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-1. Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-2. Travel	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
E-3. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<b>Total Recurring Operational Costs</b>	<b>\$121,692,526</b>	<b>\$0</b>	<b>\$121,692,526</b>	<b>\$121,692,526</b>	<b>\$0</b>	<b>\$121,692,526</b>	<b>\$121,692,526</b>	<b>\$0</b>	<b>\$121,692,526</b>	<b>\$121,692,526</b>	<b>\$0</b>	<b>\$121,692,526</b>	<b>\$121,692,526</b>	<b>\$0</b>	<b>\$121,692,526</b>
<b>F. Additional Tangible Benefits:</b>		\$0			\$3,114,286			\$3,627,561			\$4,929,998			\$11,822,652	
F-1. <i>Staffing Cost Avoidance</i>		\$0			\$0			\$513,275			\$1,815,712			\$10,265,509	
F-2. <i>System Enhancement Cost Avoidance</i>		\$0			\$3,114,286			\$3,114,286			\$3,114,286			\$1,557,143	
F-3.		\$0			\$0			\$0			\$0			\$0	
<b>Total Net Tangible Benefits:</b>		<b>\$0</b>			<b>\$3,114,286</b>			<b>\$3,627,561</b>			<b>\$4,929,998</b>			<b>\$11,822,652</b>	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	10%
Placeholder <input type="checkbox"/>	Confidence Level	



CBAForm 2 - Project Cost Analysis

Agency <u>FDACS</u>	Project <u>Agriculture and Consumer Services System</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)								TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	
TOTAL PROJECT COSTS (*)	\$13,292,707	\$11,645,061	\$13,740,459	\$414,340	\$0	\$0	\$0	\$0	\$39,092,567
CUMULATIVE PROJECT COSTS <i>(includes Current &amp; Previous Years' Project-Related Costs)</i>	\$28,853,892	\$40,498,953	\$54,239,412	\$54,653,752	\$54,653,752	\$54,653,752	\$54,653,752	\$54,653,752	\$54,653,752
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.									

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B								TOTAL
	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	
General Revenue	\$0	\$11,099,865	\$13,696,605	\$414,340	\$0	\$0	\$0	\$0	\$25,210,810
Trust Fund	\$13,292,707	\$545,196	\$43,854	\$0	\$0	\$0	\$0	\$0	\$13,881,757
Federal Match <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other <input type="checkbox"/> Specify	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL INVESTMENT	\$13,292,707	\$11,645,061	\$13,740,459	\$414,340	\$0	\$0	\$0	\$0	\$39,092,567
CUMULATIVE INVESTMENT	\$13,292,707	\$24,937,768	\$38,678,227	\$39,092,567	\$39,092,567	\$39,092,567	\$39,092,567	\$39,092,567	\$39,092,567

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



CBAForm 3 - Project Investment Summary Agency FDACS Project Agriculture and Consumer Services System

<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>										
	0	1	2	3	4	5	6	7	8	Total Project Totals
	Prior Costs	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	
Project Cost	(\$15,561,185)	(\$13,292,707)	(\$11,645,061)	(\$13,740,459)	(\$414,340)	\$0	\$0	\$0	\$0	(\$54,653,752)
Tangible Benefits	\$0	\$3,114,286	\$3,627,561	\$4,929,998	\$11,822,652	\$15,398,263	\$20,531,017	\$20,531,017	\$20,531,017	\$100,485,810
Return on Investment	(\$15,561,185)	(\$10,178,421)	(\$8,017,499)	(\$8,810,461)	\$11,408,311	\$15,398,263	\$20,531,017	\$20,531,017	\$20,531,017	\$45,832,058

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	6.77	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	FY 2023-24	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$16,574,272	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	15.77%	IRR is the project's internal rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>								
Fiscal Year	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%	6.16%	7.84%	9.96%

A		B		C		D	E	F	G	H	I	J	K	L	M	AC
FDACS		Agriculture and Consumer Services System		CBA Form 2A Baseline Project Budget												
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.							FY2015-16			FY2016-17			FY2017-18			TOTAL
							\$ 2,417,345			\$ 4,239,091			\$ 8,904,749			\$ 15,561,185
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	TOTAL			
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -			
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -			
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -			
Project management personnel and related deliverables.	Project Management	Contracted Services	\$ -	0.00	\$ 153,945	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 153,945			
Project management personnel and related deliverables.	Project Management/OCM	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ 1,399,407	\$ -	0.00	\$ 2,199,875	\$ -	\$ 3,599,282			
Project oversight (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	\$ -	0.00	\$ 250,380	\$ -	0.00	\$ 374,010	\$ -	0.00	\$ 401,200	\$ -	\$ 1,025,590			
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ 18,400	\$ -	0.00	\$ 239,200	\$ -	\$ 257,600			
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Hardware purchases not included in Primary Data Center services.	Hardware	OCO	\$ -	\$ 11,704	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 42,141	\$ -	\$ -	\$ 53,845			
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	\$ -	\$ 80,945	\$ -	\$ -	\$ 2,392,671	\$ -	\$ -	\$ 1,918,385	\$ -	\$ -	\$ 4,392,001			
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables - System Changes	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 3,640,000	\$ -	\$ -	\$ 3,640,000			
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables - Core Solution	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables - Docs Only	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables - Mixed Remittance & Docs	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Professional services with fixed-price costs (i.e. software development, installation, project documentation).	Project Deliverables - Remote Service Centers	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
All first-time training costs associated with the project.	Training	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Include the quote received from the state data center for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Other contracted services not included in other categories.	Other Services, Pre-DDI PM	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Other contracted services not included in other categories.	Other Services, Pre-DDI OCM	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Other contracted services not included in other categories.	Other Services, Pre-DDI BPR/Reqs./Use Cases	Contracted Services	\$ -	\$ 1,897,302	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,897,302			
Other contracted services not included in other categories.	Other Services, Pre-DDI Procurement	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail).	Equipment	Expense	\$ -	\$ 23,069	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 23,069			
Equipment maintenance.	Other Services - Equipment Maintenance	Contracted Services	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -			
Include costs associated with leasing space for project personnel.	Leased Space	Expense	\$ -	\$ -	\$ -	\$ -	\$ 54,603	\$ -	\$ -	\$ 278,107	\$ -	\$ -	\$ 332,710			
Other project expenses not included in other categories.	Other Expenses	Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 185,841	\$ -	\$ -	\$ 185,841			
<b>Totals</b>			\$ -	\$ 0.00	\$ 2,417,345	\$ -	\$ 0.00	\$ 4,239,091	\$ -	\$ 0.00	\$ 8,904,749	\$ -	\$ 15,561,185			
						Funded		Var								
			FY17-18 \$ 8,904,749			\$ 8,904,749		\$ -								
			Prior to FY17-18 \$ 6,991,849			\$ 6,656,436		\$ 6,813,927		\$ 157,491						
			\$ 15,896,598													
<b>RLMS Project</b>																
Data Analyst			\$ -				\$ 18,400			\$ 239,200						
IV&V			\$ 250,380				\$ 374,010			\$ 401,200						
PMO			\$ -				\$ 1,399,407			\$ 2,199,875						
Project Manager Services			\$ 153,945				\$ -			\$ -						
PreDDI Services			\$ 1,897,302				\$ -			\$ -						
Systems Integration - R1			\$ -				\$ -			\$ 3,640,000						
COTS Software (GCOM)			\$ -				\$ 1,800,000			\$ 1,822,045						
Vendor Support (GCOM)			\$ -				\$ 50,000			\$ -						
Hardware (GCOM)			\$ -				\$ -			\$ 42,141						
COTS Software (FDACS)			\$ 7,805				\$ -			\$ -						
Team Laptops			\$ 11,704				\$ -			\$ -						
Office Cubicles			\$ 23,069				\$ -			\$ -						
Facilities			\$ -				\$ 54,603			\$ 278,107						
Unobligated Expenses			\$ -				\$ -			\$ 185,841						
Informatica Software			\$ 73,140				\$ 416,681			\$ -						
Informatica Training			\$ -				\$ 34,320			\$ -						
Informatica Maintenance			\$ -				\$ 91,670			\$ 96,340						
<b>Total</b>			\$ 2,417,345				\$ 4,239,091			\$ 8,904,749						

**Cost Notes/Assumptions:**

Added in the prior years' costs.

**Benefit Notes/Assumptions:**

Went back to the original IV-B and added the original benefit numbers.

	B	C	D	E	F	G	H
3	<b>Project</b>		FDACS AgCSS				
4							
5	<b>Agency</b>		Department of Agriculture and Consumer Services				
6	<b>FY 2018-19 LBR Issue Code:</b>			<b>FY 2018-19 LBR Issue Title:</b>			
7	Issue Code			Issue Title			
8	<b>Risk Assessment Contact Info (Name, Phone #, and E-mail Address):</b>						
9	Steve Garrison, (850) 245-1050, Steve.Garrison@Freshfromflorida.com						
10	<b>Executive Sponsor</b>		Michael Johnston				
11	<b>Project Manager</b>		Steve Garrison				
12	<b>Prepared By</b>		Steve Garrison			7/28/2017	
14	<b>Risk Assessment Summary</b>						
15							
16	<b>Business Strategy</b>	<b>Level of Project Risk</b>					
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30							
31							
32							
34	<b>Project Risk Area Breakdown</b>						
35	<b>Risk Assessment Areas</b>						<i>Risk Exposure</i>
36	Strategic Assessment						MEDIUM
37							
38	Technology Exposure Assessment						MEDIUM
39							
40	Organizational Change Management Assessment						HIGH
41							
42	Communication Assessment						LOW
43							
44	Fiscal Assessment						MEDIUM
45							
46	Project Organization Assessment						MEDIUM
47							
48	Project Management Assessment						MEDIUM
49							
50	Project Complexity Assessment						HIGH
51							
52							
53	<b>Overall Project Risk</b>						<b>HIGH</b>

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
3	Section 1 -- Strategic Area			
4	#	Criteria	Values	Answer
5	1.01	Are project objectives clearly aligned with the agency's legal mission?	0% to 40% -- Few or no objectives aligned	81% to 100% -- All or nearly all objectives aligned
6			41% to 80% -- Some objectives aligned	
7			81% to 100% -- All or nearly all objectives aligned	
8	1.02	Are project objectives clearly documented and understood by all stakeholder groups?	Not documented or agreed to by stakeholders	Documented with sign-off by stakeholders
9			Informal agreement by stakeholders	
10			Documented with sign-off by stakeholders	
11	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
12			Most regularly attend executive steering committee meetings	
13			Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings	
14	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
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	Changes are identified and documented
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
26			Some	
27			All or nearly all	
28	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
29			Moderate external use or visibility	
30			Extensive external use or visibility	
31	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
32			Single agency-wide use or visibility	
33			Use or visibility at division and/or bureau level only	
34	1.10	Is this a multi-year project?	Greater than 5 years	Greater than 5 years
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services			Project: FDACS AgCSS
3	Section 2 -- Technology Area			
4	#	Criteria	Values	Answer
5	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
6			Supported prototype or production system less than 6 months	
7			Supported production system 6 months to 12 months	
8			Supported production system 1 year to 3 years	
9			Installed and supported production system more than 3 years	
10	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 through implementation only
11			External technical resources will be needed through implementation only	
12			Internal resources have sufficient knowledge for implementation and operations	
13	2.03	Have all relevant technical alternatives/ solution options been researched, documented and considered?	No technology alternatives researched	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	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	Some relevant standards have been incorporated into the proposed technology
17			Some relevant standards have been incorporated into the proposed technology	
18			Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards	
19	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
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	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
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
3	Section 3 -- Organizational Change Management Area			
4	#	Criteria	Values	Answer
5	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
6			Moderate changes to organization structure, staff or business processes	
7			Minimal changes to organization structure, staff or business processes structure	
8	3.02	Will this project impact essential business processes?	Yes	Yes
9			No	
10	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
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	1% to 10% FTE count change
16			1% to 10% FTE count change	
17			Less than 1% FTE count change	
18	3.06	Will the number of contractors change as a result of implementing the project?	Over 10% contractor count change	Over 10% contractor count change
19			1 to 10% contractor count change	
20			Less than 1% contractor count change	
21	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)
22			Moderate changes	
23			Minor or no changes	
24	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
25			Moderate changes	
26			Minor or no changes	
27	3.09	Has the agency successfully completed a project with similar organizational change requirements?	No experience/Not recently (>5 Years)	Recently completed project with fewer change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name		Project: Project Name	
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
6			No	
7	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
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	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
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	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
18			Success measures have been developed for some messages	
19			All or nearly all messages have success measures	
20	4.07	Does the project Communication Plan identify and assign needed staff and resources?	Yes	Yes
21			No	



	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
5	5.01	Has a documented Spending Plan been approved for the entire project lifecycle?	Yes	Yes
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	81% to 100% -- All or nearly all defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Greater than \$10 M
11			Greater than \$10 M	
12			Between \$2 M and \$10 M	
13			Between \$500K and \$1,999,999	
14			Less than \$500 K	
15	5.04	Is the cost estimate for this project based on quantitative analysis using a standards-based estimation model?	Yes	Yes
16			No	
17	5.05	What is the character of the cost estimates for this project?	Detailed and rigorous (accurate within $\pm 10\%$ )	Detailed and rigorous (accurate within $\pm 10\%$ )
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	Yes
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	All or nearly all project benefits have been identified and validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	More than 5 years
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	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
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	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
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
3	Section 5 -- Fiscal Area			
4	#	Criteria	Values	Answer
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	hardware and software is documented in the project schedule
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	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
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	No
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	All or nearly all selection criteria and expected outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor
57			Multi-stage evaluation not planned/used for procurement	
58			Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor	
59	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	Yes, bid response did/will include proof of concept or prototype
60			No, bid response did/will not require proof of concept or prototype	
61			Yes, bid response did/will include proof of concept or prototype	
62			Not applicable	
63				
64				
65				
66				

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	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
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Half of staff from in-house resources
28			Half of staff from in-house resources	
29			Mostly staffed from in-house resources	
30			Completely staffed from in-house resources	
31	6.09	Is agency IT personnel turnover expected to significantly impact this project?	Minimal or no impact	Moderate impact
32			Moderate impact	
33			Extensive impact	
34	6.10	Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost?	Yes	Yes
35			No	
36	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
37			No, only IT staff are on change review and control board	
38			No, all stakeholders are not represented on the board	
39			Yes, all stakeholders are represented by functional manager	

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
12			Some	
13			All or nearly all	
14	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
15			41 to 80% -- Some have been defined and documented	
16			81% to 100% -- All or nearly all have been defined and documented	
17	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
18			41 to 80% -- Some have been defined and documented	
19			81% to 100% -- All or nearly all have been defined and documented	
20	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
21			41 to 80% -- Some are traceable	
22			81% to 100% -- All or nearly all requirements and specifications are traceable	
23	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
24			Some deliverables and acceptance criteria have been defined and documented	
25			All or nearly all deliverables and acceptance criteria have been defined and documented	
26	7.08	Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables?	No sign-off required	Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables
27			Only project manager signs-off	
28			Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables	
29	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
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints),	Yes	Yes

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
35		critical milestones, and resources?	No	Yes
36	7.12	Are formal project status reporting processes documented and in place to manage and control this project?	No or informal processes are used for status reporting	Project team and executive steering committee use formal status reporting processes
37			Project team uses formal processes	
38			Project team and executive steering committee use formal status reporting processes	
39	7.13	Are all necessary planning and reporting templates, e.g., work plans, status reports, issues and risk management, available?	No templates are available	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	All known risks and mitigation strategies have been defined
45			Some have been defined and documented	
46			All known risks and mitigation strategies have been defined	
47	7.16	Are standard change request, review and approval processes documented and in place for this project?	Yes	Yes
48			No	
49	7.17	Are issue reporting and management processes documented and in place for this project?	Yes	Yes
50			No	

	B	C	D	E
1	Agency: Department of Agriculture and Consumer Services		Project: FDACS AgCSS	
2				
3	Section 8 -- Project Complexity Area			
4	#	Criteria	Values	Answer
5	8.01	How complex is the proposed solution compared to the current agency systems?	Unknown at this time	More complex
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	3 sites or fewer
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	More than 3 external organizations
16			1 to 3 external organizations	
17			More than 3 external organizations	
18	8.05	What is the expected project team size?	Greater than 15	Greater than 15
19			9 to 15	
20			5 to 8	
21			Less than 5	
22	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
23			2 to 4	
24			1	
25			None	
26	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
27			Agency-wide business process change	
28			Statewide or multiple agency business process change	
29	8.08	Has the agency successfully completed a similarly-sized project when acting as Systems Integrator?	Yes	No
30			No	
31	8.09	What type of project is this?	Infrastructure upgrade	Combination of the above
32			Implementation requiring software development or purchasing commercial off the shelf (COTS) software	
33			Business Process Reengineering	
34			Combination of the above	
35	8.10	Has the project manager successfully managed similar projects to completion?	No recent experience	Similar size and complexity
36			Lesser size and complexity	
37			Similar size and complexity	
38			Greater size and complexity	
39	8.11	Does the agency management have experience governing projects of equal or similar size and complexity to successful completion?	No recent experience	Similar size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**REGULATORY LIFECYCLE MANAGEMENT  
SYSTEM – PRE-DESIGN, DEVELOPMENT,  
AND IMPLEMENTATION PROJECT**

*Implementation Plan*

Date: 07/31/2017  
Version: 101



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## REVISION HISTORY

DATE	AUTHOR	VERSION	CHANGE REFERENCE
10/15/2014	Kreig Fields, PMP	001	First draft
11/11/2014	Kreig Fields, PMP	004	Final draft
02/18/2015	Kreig Fields, PMP	008	Division of Licensing and Division of Administration Updates
9/8/2015	Tom Howard	009	Including details on Risk Management, updated schedule
2/16/2016	Tom Mante	010	Update to the Implementation Plan
2/22/2016	Peter Cotterrell	011	Review and Updated OCM & Workforce Transition Content
02/23/2016	Jennifer Pang	012	QA and Workstream Update Reconciliation
02/25/2016	Tom Mante	013	QA
3/3/2016	FDACS	013	FDACS Review
3/7/2016	North Highland	014	NH Remediation of FDACS Review
3/10/2016	North Highland	015	NH Remediation
3/14/2016	North Highland	015	Additional Language Added
3/15/2016	North Highland	100	Baseline
7/31/2017	North Highland	101	Refresh update for Schedule IV-B FY 2018-19

## Quality Review

NAME	ROLE	DATE
Steven Smith	North Highland QA	10/16/2014
John Hicks, PMP	North Highland Project Manager	10/21/2014
Scott Rainey, PMP	North Highland Engagement Manager	10/21/2014
Tom Mante	North Highland Project Manager	2/18/2015
Kreig Fields, PMP	North Highland	9/10/2015
Greg Martin	North Highland, Subject Matter Expert	2/24/2016
Tom Mante	North Highland, Project Manager	2/25/2016



## SECTION 1 IMPLEMENTATION STRATEGY

The Florida Department of Agriculture and Consumer Services (FDACS) has evaluated the utilization of a Regulatory Lifecycle Management System (RLMS) to standardize regulation and licensing across all of the department's divisions and offices that directly manage regulatory programs. The regulatory application portfolio currently contains more than sixty (60) applications, making standardization problematic. An implementation strategy has been developed to achieve the goals of enterprise regulatory management while minimizing risks and costs.

The initial implementation will involve two (2) Divisions where the RLMS will yield the greatest benefits. In the first year, the Division of Licensing (DoL) implementation will subsume the Concealed Weapons Intake System, Licensing Reflections System, Imaging Business and Process Management, Web-based Fast Track System, and Concealed Weapons Renewal Express (CWREX) into an enterprise solution. The implementation for the Division of Administration (DoA) will supplement the Agency Clerk, Revenue Online Collection, EGov and Enterprise E – Commerce System applications, as well as additional components of the Revenue Receipt Accounting System (REV). The Division of Licensing Call Center support will also be modernized as part of the implementation.

The current system environment portfolio includes sixty-eight (68) systems (80% custom, 20% COTS with varying customization). Twelve (12) of the sixty-eight (68) systems support multiple regulatory types (certification, licensure, permitting and registration), while another twenty-nine (29) of the sixty-eight (68) systems support a single regulatory program. Additionally, there are twelve (12) systems supporting regulatory functions currently used by department employees that are still completely manual.

The majority of these systems were developed for specific division programs a decade or more ago with differing support requirements and end-of-life timeframes. Since there was no strategy to facilitate uniform data across FDACS, these isolated division database environments produce duplicative data across the department, and create a challenging environment to effectively communicate regulatory information internally among divisions and externally to stakeholder groups.

FDACS' regulatory applications currently in place use a wide variety of technologies, design methodologies and interfaces, resulting in an overburden on budget. Stemming from a previous lack of IT governance, there are multiple databases unique to specific divisions which operate without centralized, enterprise oversight within FDACS. FDACS identified three (3) additional key strategic challenges:

- The proliferation of redundant division and office processes and supporting systems exposes FDACS to operational risk, which then increases administrative and support costs while decreasing operational efficiency and effectiveness.



- The existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders as a result of outdated and unsupported software and technology.
- From an external perspective, weather forecasts, commodity market reports, disease outbreaks and international political conflicts require FDACS to make constant operational course corrections.

In order to overcome these strategic challenges and position the department to better serve the needs of its constituents and the residents of Florida, the ultimate goal of FDACS is to implement an enterprise RLMS. Based upon research and analysis of existing documentation, system requirements and internal objectives, FDACS desires to implement a regulatory system modernization for DoL and all of its applications, and then supplement the DoA revenue management system. Once these systems are successfully designed, implemented, and running, the department will then add on the outstanding divisions to the new system, fulfilling the enterprise model of the department.

## ***1.1 PRE-DESIGN, DEVELOPMENT, AND IMPLEMENTATION***

There is a considerable amount of work to perform prior to the award and start of this RLMS implementation. Pre-Design, Development, and Implementation (Pre-DDI) work will be focused on inventorying and organizing the data and procedures which will be included in the DoL and DoA transformations. Additional set up work required prior to vendor selection and implementation include understanding the current state and the future state desired, the transition efforts that will be required and the communication needs required to ensure success. The following paragraphs describe the types of activities and work products required as part of pre-implementation.

**NOTE: The Pre-DDI tasks associated with this section are currently in development as an active project.**

### ***1.1.1 BUSINESS PROCESS RE-ENGINEERING***

Migrating to a new enterprise RLMS system will require significant changes to business processes within FDACS. A number of preliminary Business Process Re-engineering (BPR) steps can be taken now to reduce time and risk during the actual implementation:

- Establish an FDACS workgroup to advise and direct re-engineering activities.
- Collect and create current state process maps to document the existence and complexity of the business processes and workflows that support the department's regulatory programs.
- Develop initial future state processes.
- Perform an initial gap analysis between the current state and expected future state processes; future state Use Cases and reports can be defined to support the Invitation to Negotiate (ITN) process.



- Assess business analytics requirements for the ITN.

### **1.1.2 PROCUREMENT**

From a procurement standpoint, the implementation plan, procurement strategy and scope of work all need to be created. Additionally, the evaluation criteria and tools need to be created to aid in scoring the ITN, and then the procurement plan will need to be created. All of this information will be used to finalize the ITN documents.

The next major set of tasks involves conducting the procurement. This involves evaluation and negotiation, vendor selection and contract finalization. Eventually this will transition to contract requirement monitoring and project contract close.

### **1.1.3 PROJECT AND PORTFOLIO MANAGEMENT OFFICE**

Implementing enterprise solutions requires careful orchestration by the Project and Portfolio Management Office (PPMO). The department has already taken the required steps to establish a governance framework. Additionally, a project charter will be required. The PPMO will provide project oversight as needed, facilitate issue resolution, and develop and monitor the detailed project plan and schedule. A program planning framework will be established to support project start-up activities. Project logistics (e.g., facilities, system access, administrative support) and on-boarding procedures will also be required.

Risk assessments and mitigation processes will be defined and tracked throughout the project. The quality assurance (QA) process validates that the deliverables contain appropriate information needed by the next team in the development lifecycle (e.g., the functional documentation meets the needs of the development team).

The PPMO will develop the following RLMS deliverables: Project Charter, Project Governance Structure, Project Governance Processes and Escalation, Initial Project Plan, Risk Management Process, Governance Reporting, and On-boarding Process.

### **1.1.4 ORGANIZATIONAL CHANGE MANAGEMENT**

As mentioned above, transitioning to an enterprise solution from the current divisional application perspective is critical to the success of this implementation. The transition is accomplished through effective Organizational Change Management (OCM). There are several OCM steps that can be taken before the awarding of the vendor contract to facilitate adoption of the new business solution. The effort begins with an assessment of the change management needs and efforts based on the Strategy Articulation Map and the Solution Goals. A stakeholder and organizational impact analysis should be developed and executed to quantify the types and amounts of change management efforts needed. Most importantly, because stakeholders resist what they do not understand, a communication strategy and plan is necessary to inform stakeholders.



### **1.1.5 WORKFORCE TRANSITION**

OCM is used to identify how the organization will need to change, while Workforce Transition (WFT) describes what has to be done to implement the change (e.g., role-based training). Enterprise systems tend to collapse and streamline business processes. In other cases, business processes will become self-servicing. All of these things impact how the workforce will do their jobs. Role-based skills gaps and mitigation steps need to be identified to facilitate the workforce transition.

### **1.1.6 SYSTEM AND DATA STRATEGY**

Data cleansing is one of the most time-consuming tasks in preparing for an enterprise system implementation. The department has already begun many of these required efforts. FDACS needs to continue to map essential RLMS-related data sources across the various legacy platforms. RLMS-related systems and interfaces will also need to be fully documented. As part of this initiative, a data quality assessment should be performed on the essential DoL and DoA legacy data. FDACS will also need to determine changes in RLMS system architecture, infrastructure, data structures and any data conversion requirements. Preliminary Master Data Management (MDM), data conversion, migration and interface strategies should also be created.

### **1.1.7 HANDOFF FROM PRE-DDI**

Activities within Pre-DDI are used to create a solid foundation for the implementation. Several activities started in pre-ITN will continue throughout the lifecycle of the project:

- Organizational Change Management;
- Project Management Office;
- Workforce Transition;
- Business Process Re-engineering.

## **1.2 IMPLEMENTATION TIMELINE**

Breaking down the implementation into releases can provide significant risk mitigation. The following implementation plan is based on a “Crawl, Walk, Run” release approach. This approach starts by implementing DoL and DoA to demonstrate business value before committing to a broad scale implementation. The focus during Release 1 (Crawl) is validation and refinement of the implementation tasks and deliverables. If sufficient cost-benefits are demonstrated, lessons learned from the first Release can be used to plan delivery of a larger scale roll out to two (2) or three (3) divisions in Release 2 (Walk). In the Walk release, the focus will be on refining and optimizing the project schedule (e.g., load balancing of government and contractor resources). Refinements from Release 2 (Walk) are then incorporated and used to implement the full-scale implementation for the remaining divisions in Release 3 (Run).



The following diagrams are used to describe the high-level project timeline for the implementation plan's three releases. Any changes to the release schedules should consider potential impacts on financial close activities or major renewal processing cycles. The Release Schedule by division gives a break out of the release each application will be implemented in.

### Exhibit 1: DDI Schedule

#### Release 1 (Crawl) / 20 Months

The following diagram provides a schedule for the first release of the FDACS RLMS Project. The Division of Licensing and Administration implementation starts in July 2017 and move into sustainment in March 2019 (20 months after startup).. .

It should be noted the current legislative budget request reflects the actual costs for all three releases of the AgCSS System. The Department will follow the appropriate planning and budgeting guidelines to support legislative budget requests for Release 2 and Release 3 of the Project.

It should be noted an iterative approach will be used to design, develop and test solution components to quickly prove the effectiveness of project tasks and deliverables while demonstrating business value.



		FY2017	FY2017-18											FY2018-19															
		0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	
		12-Jun-17	10-Jul-17	7-Aug-17	4-Sep-17	2-Oct-17	30-Oct-17	27-Nov-17	25-Dec-17	22-Jan-18	19-Feb-18	19-Mar-18	16-Apr-18	14-May-18	11-Jun-18	9-Jul-18	6-Aug-18	3-Sep-18	1-Oct-18	29-Oct-18	26-Nov-18	24-Dec-18	21-Jan-19	18-Feb-19	18-Mar-19	15-Apr-19	13-May-19	10-Jun-19	
Release 1	Contract/SOW/Software Buy																												
	Plan and Assess																												
	System Level Design, Global Configuration, Prototype Records																												
	Configuration Sprints																												
	Configuration Sprints - System Test																												
	Implementation & Deployment - UAT																												
	Implementation & Deployment - Operational Readiness																												
	Implementation & Deployment - Training and OCM Execution																												
	Implementation & Deployment - Deployment																												



		FY2017	FY2017-18											FY2018-19																	
		0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26			
		12-Jun-17	10-Jul-17	7-Aug-17	4-Sep-17	2-Oct-17	30-Oct-17	27-Nov-17	25-Dec-17	22-Jan-18	19-Feb-18	19-Mar-18	16-Apr-18	14-May-18	11-Jun-18	9-Jul-18	6-Aug-18	3-Sep-18	1-Oct-18	29-Oct-18	26-Nov-18	24-Dec-18	21-Jan-19	18-Feb-19	18-Mar-19	15-Apr-19	13-May-19	10-Jun-19			
Release 1	Contract/SOW/Software Buy																														
	Plan and Assess																														
	System Level Design, Global Configuration, Prototype Records																														
	Configuration Sprints																														
	Configuration Sprints - System Test																														
	Implementation & Deployment - UAT																														
	Implementation & Deployment - Operational Readiness																														
	Implementation & Deployment - Training and OCM Execution																														
	Implementation & Deployment - Deployment																														

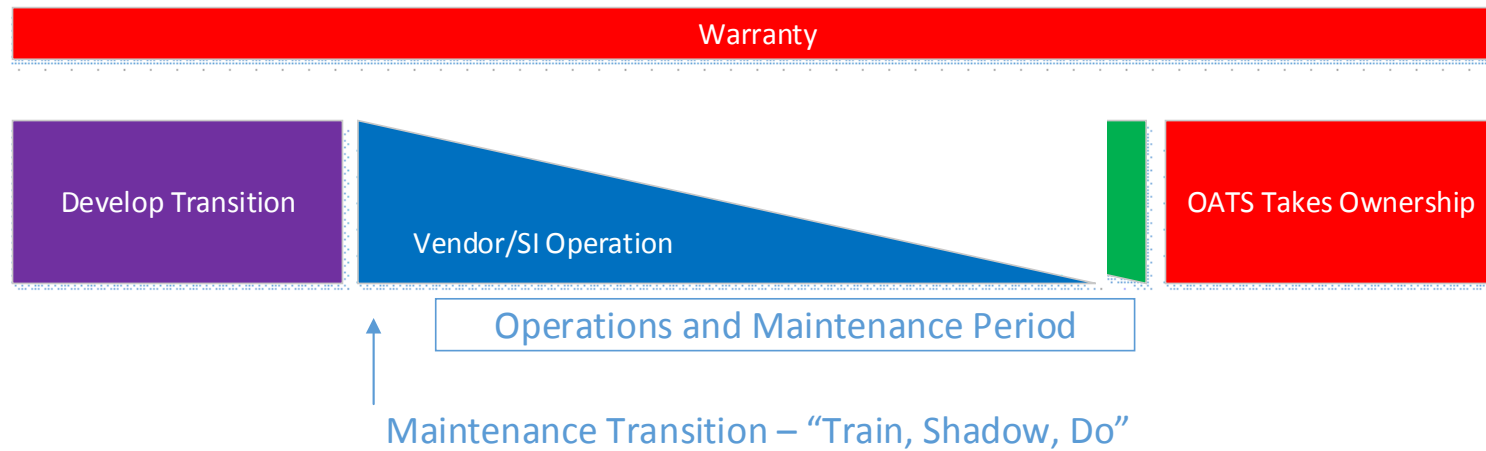
**Exhibit 2: Release 1 (DoL and DoA) Implementation Summary Timeline**

Each Release of the RLMS Project will have an Operations and Maintenance (O&M) support model to facilitate the transition of operations from the Systems Integrator (SI) to FDACS. At the end of each Release, the SI will execute the developed O&M Transition Plan in implementing a “Train, Shadow, Do” approach that will allow FDACS to learn hands-on from the SI and gradually perform the O&M responsibilities autonomously, waning off dependence on the SI. All related O&M activities for each Release are also supported by a Warranty period. The Exhibit below depicts the O&M Support Model.





## RLMS Release Support Operating Model – Operations and Maintenance Period for Each of the Three RLMS Releases



**Exhibit 3: RLMS Release Operations and Maintenance (O&M) Support Model**



### Release 2 (Walk) / 12 Months

If Release 1 provides sufficient cost-benefit to proceed, the second release will implement RLMS functionality with “early adopters” representative of other divisions to validate the scalability of the implementation tasks from the first release. This approach will also enable FDACS and the system integrator to build team resources through a “train the trainer/facilitate the facilitator” approach. Many enterprise application projects fail due to contention for key project resources. Projects must be realistic about availability of department resources who may continue to have normal job duties. Release 2 will mitigate this risk by providing an opportunity to establish realistic scheduling of resources, both internal and external.

### Release 3 (Run) / 11 Months

Release 3 will implement the remaining divisions and applications. Interfaces to any applications that are not migrated to RLMS would also be built and implemented in this release.

### Release Schedule by Division

Before each Release, for any application impacted by the RLMS, FDACS should freeze and evaluate the related application development.

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAME
<b>Licensing</b>	Release 1	Early adopter because of architectural significance of business process.	CWIS
			Licensing Reflections System
			Imaging Business and Process Management
			CWREX (CW Renewal Express)
			Web-based Fast Track System
<b>Administration</b>	Release 1	Interfaces to the Financial systems should be incorporated into early release.	Agency Clerk
			ROC
			EGC
			REV
<b>Agricultural Environmental Services</b>	TBD	Early adopter because of existing enterprise perspective and organizational readiness.	AES Laboratory Information Management System (AES-LIMS)
			Agricultural Environmental Services Suntrack System
			DOI Database
			Aircraft Registration Database
			Compliance DB30 Database
			EIS - AES Image Applications
			Electronic Fumigation Notice Submissions



DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAME
			Pesticide Applicator Continuing Education Units
<b>Agricultural Law Enforcement</b>	TBD	No special circumstances for early implementation.	Registration Tracking System
			ACISS Case Management
			Bill of Lading Scanning System
			Commerce Transport Imaging System
			Tag Recognition System
<b>Agriculture Water Policy</b>	TBD	No special circumstances for early implementation.	Best Management Practices Tracking System (BMPTS)
<b>Animal Industry</b>	TBD	No special circumstances for early implementation.	Animal Industry Florida Poultry Database
			Animal Industry Laboratory Information Management System
			Daily Activity Report
			Garbage Feeders Database
			Master Brand Record
			Master Cervidae Herd Plan/Permits
			Master Equine Extension
<b>Aquaculture</b>	TBD	Early adopter because of readiness for enterprise solution.	Aquacore Information System
			Aquaculture Certification Program
			Aquaculture Lease Database
			Apalachicola Bay Oyster Harvesting License
			Shellfish Shippers Database
<b>Consumer Services</b>	TBD	Extensive functionality and risk may push this back to later release.	LIMS--Anti-freeze and Brake fluid Metrology (metered devices)
			DOCS--Business Opportunities Franchises
			DOCS--Continuing Education Provider
			DOCS--Do Not Call List
			DOCS--Game Promotion
			DOCS--Health Studios
			DOCS--Intrastate Movers
			DOCS--Mediation and Enforcement
			DOCS (and Access)--Meter Mechanics
			DOCS--Motor Vehicle Repair
			DOCS--Pawnshops
			DOCS--Petroleum (wholesale and retail)



DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAME
			DOCS--Professional Surveyors and Mappers DOCS--Scales and Other Measuring Devices (inspection results; excluding petroleum; including wholesale and retail) DOCS--Sellers of Travel DOCS--Solicitation of Contributions DOCS--Telemarketing DOCS--Weights and Measure Permitting System (permitting) Fair Ride Database License and Bond System LP Gas
<b>Florida Forest Service</b>	TBD	No special circumstances for early implementation; primary focus on interfacing to enterprise data model.	Florida Fire Management Information System
<b>Food, Nutrition and Wellness</b>	TBD	No special circumstances for early implementation.	Florida Automated Nutrition System (FANS)
<b>Food Safety</b>	TBD	Pushed back to later release because of existing custom solution project.	Document Control and Training Tracking Food Inspection Management System (FIMS) Food Safety Laboratory Information Management (FSLIMS) Regulatory Information Management System (Dairy)
<b>Fruit and Vegetables</b>	TBD	Part of earlier release in order to harvest lessons learned from previous ERP implementation. Remaining applications are implemented in later release; No special circumstances for early implementation.	Mobile Inspection Program (Tomatoes) Brix Acid Unit System CitraNet EQIP FreshNet Fruit and Vegetable System--Processors, Growers, Haulers Fruit and Vegetable System--Citrus Dealers



DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAME
			Fruit and Vegetables System-- Growers, handlers, packers, shippers Fruit and Vegetables--Growers, handlers, packers, shippers (Accounts receivable) Fruit and Vegetables-- Growers, handlers, packers, shippers (Fiscal) Fruit and Vegetables--Growers, handlers, packers, shippers (Inspection and personnel) Fruit and Vegetables--Growers, handlers, packers, shippers of fresh citrus (Statistics) Shell Stock, MicroMation (Peanuts)
<b>Marketing and Development</b>	TBD	Manual low-risk process with existing “to-be” documentation; also public facing and would be a quick win.	
<b>Plant Industry</b>	TBD	Plant Industry would initially be pulled into the implementation to provide input on “master data” definition and to implement a high business value “emergency response” and “inspection/enforcement” application needed by the enterprise.  Remaining Plant Industry applications may fall into later release; no special circumstances for early implementation.	Pest Incidence Control System (DPI Emergency Program Management System only)  Citrus Budwood Registration system Citrus Germplasm Introduction Program system Plant Inspection Trust Revenue system Laboratory Identification Sample Tracking system Agricultural Geospatial and Tabular Data Application system (AGDATA)

**Exhibit 4: Release Schedule by Division**



### **1.2.1 ESTIMATED PROJECT SCHEDULE FOR MAJOR RELEASES**

The initial estimated schedule and its associated resource plans will be further evaluated in subsequent planning phase activities, and confirmed prior to the beginning of the Design Phase, as well as on an ongoing basis throughout the project.

Based on learning, new information, improved common understanding and a dynamic business environment, it is anticipated that scope refinement and consequent recalibration will be required at the conclusion of the Design Phase. This will allow for more informed and effective planning of the work effort required to execute the Develop Phase. Any material change affecting scope, critical milestones, and/or resources will be assessed, documented and agreed upon using the Project Change Control Process, and will be incorporated into the relevant phase-based detailed plans once agreed upon by both the Systems Integrator (SI) and FDACS.



## SECTION 2 DESIGN, DEVELOPMENT AND IMPLEMENTATION

The implementation timeline is structured around iterative project releases. Each release implements regulatory capabilities for a specified set of business areas (e.g., the first release will involve the Division of Licensing and Division of Administration). Each release follows the same basic implementation lifecycle (Plan, Design, Develop, Implement and Post-Implementation). Each of these release phases is broken down into domains which define the key activities and project team responsibilities.

### 2.1 RELEASE LIFECYCLE OVERVIEW

There are five (5) implementation phases which are performed for each release lifecycle:

1. **Plan** – Planning and preparation to ease design ramp-up;
2. **Design** – Gather requirements, design processes, and solidify scope;
3. **Develop** – Build the designed solution; Testing is incorporated into Develop Phase;
4. **Implement** – End user education, user acceptance, and migration activities;
5. **Post Implementation** – Transition from project mode into a live, supported production operation.

The tasks in these phases are assigned to four (4) basic domains (project teams):

- **Project Management** – Address return on sponsor investment for the project;
- **Process** – Address business requirements and benefits;
- **People** – Facilitate effective and efficient transition to the new business model;
- **Technology** – Facilitate information quality and integrity, integrate task and solution dependencies across domains and project phases, and deliver objects that address specifications and coding quality standards and management of appropriate application architecture and technical infrastructure.

### 2.2 RELEASE PHASES

A description of the implementation phases, deliverables and key activities is provided below as an overview. The exact makeup of work products/deliverables and activities will vary depending on the software and system integrator selected as different contractors will organize their solutions into different packages, calling them by different names. However, there are certain leading practices for the types of information required to implement an enterprise application. This section will describe typical responsibilities based on business leading implementation plans.

Please note the deliverables are living documents which will be created in the first release and updated with pertinent information in subsequent releases (e.g., to reflect new user roles or Use Cases).



The following definitions are relevant to all release phases:

- **Table of activities** – Lists the activities to be performed;
- **Work products/deliverables** – Sample list of work products and deliverables based on leading business practices;
- **Responsibility for work products/deliverables completion** – Creating deliverables and work products is deemed a joint responsibility under the leadership and direction of one party, unless otherwise designated; a majority of the work products should be seen as a joint responsibility which do not require an extensive formal deliverable review process
  - › **Lead** – The “Lead” Party has responsibility for leading the activity by providing knowledge, direction, advice, schedule mitigations, detailed work plans and direction to the effort. The Lead completes their relative share of the deliverable creation work as driven by the resource plan, and has ultimate responsibility for delivering the materials for which they are designated as "Lead."
  - › **Assist** – The “Assist” Party has the responsibility for delivering their relative portion of the work effort to complete their assigned deliverables under the guidance and direction of the “Lead” party.

### 2.2.1 ONGOING PROJECT ACTIVITIES

Supplementary to the defined release phases and activities, there are additional ongoing tasks. These tasks have joint Systems Integrator (SI) and FDACS responsibility, and continue throughout the lifecycle of the project as described in the exhibit below.

TEAM	ACTIVITY
Project Management	Perform project tracking and reporting.
Project Management	Secure and manage project resources including extended project resources, stakeholders, impacted and third parties.
Project Management	Oversee contractual responsibilities.
Project Management	Administer project change control procedures.
Project Management	Govern project standards and procedures.
People	Maintain both internal and external project communications.

**Exhibit 5: Ongoing Project Activities by Project Team**

### 2.2.2 PLAN

The objective of the Plan Phase is to provide detailed initial project planning and preparation for this release of the RLMS project. Detailed release planning and scoping is conducted, strategies are defined and resources are on-boarded during this phase. This detailed project plan will define and clarify SI and FDACS activities, dependencies, responsibilities, estimated effort hours, and required delivery dates defined by resource at the level of detail equal to each named deliverable.





Examples of activities and responsibilities for Plan Phase:

RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Plan	Contractor	Facilitate the project kickoff meeting.
Plan	Contractor	Validate current department system architecture.
Plan	Contractor	Work with department staff to establish the necessary technical environments.
Plan	Contractor	Provide input and updates to the Plan Phase deliverables, with the exception of the Knowledge Transfer Plan which must be developed and maintained entirely by the contractor.
Plan	Contractor	Prepare and deliver Plan Phase deliverables.
Plan	Contractor	Revise deliverables as a result of the review and approval process.
Plan	Department	Participate in project planning activities and identify responsibilities of department staff.
Plan	Department	Participate in plan development by providing technical information and guidance.
Plan	Department	Review and approve all Plan Phase deliverables.
Plan	Department	Supply hardware, software and infrastructure for which department is responsible.
Plan	Department	Prepare the worksite for occupation of the key contractor worksite team.

**Exhibit 6: Plan Phase Activities and Responsibilities**

Examples of work products/deliverables and descriptions for Plan Phase:

RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Plan	Project Management (PM) Plan	<p>The Project Management Plan includes the PM Plan and sub-plans such as the scope management and resource management plans. The contractor shall leverage the enterprise Project Management Plan developed by the RLMS Pre-DDI Project's planning vendor in developing their Project Management Plan.</p> <p>Additional plans of the Project Management Plan that shall be updated by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Project Plan Summary;</li> <li>▪ Project Scope Management Plan;</li> <li>▪ Resource Management Plan;</li> <li>▪ Risk Management Plan;</li> <li>▪ Communication Plan;</li> <li>▪ Project Change Management Plan.</li> </ul>
Plan	RLMS Project Schedule and Work Breakdown Structure (WBS)	The RLMS Project Schedule and WBS deliverable defines the detailed task, milestone and resource list for the delivery of the project.



RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Plan	Quality Management Plan	The Quality Management Plan deliverable defines the approach for the review and assurance of quality delivery of the overall solution.
Plan	Security Management Plan	The Security Management Plan deliverable defines the security protocols, controls, approaches and verifications that will be implemented during the delivery of the project.

**Exhibit 7: Plan Phase Deliverable Descriptions**

**2.2.3 DESIGN**

The objective of the Design Phase is to create a detailed description of FDACS’ business requirements, define the technical requirements to enable those business functions within the RLMS system, and develop and begin implementing an approach to manage the impacts to the organization. This phase also covers the creation of the system technical design, definition of required development work, and the establishment of a development system that is ready for configuration and application development.

Examples of activities and responsibilities for the Design Phase:

RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Define	Contractor	Provide a defined methodology to elaborate and maintain requirements including the process of how requirements sessions will be conducted.
Define	Contractor	Provide mutually agreed upon schedule of requirement sessions, not to exceed more than four (4) business days per week.
Define	Contractor	Ensure that the contractor’s functional and technical experts are available and on premise during the requirements sessions to address and answer any questions.
Define	Contractor	Provide an agenda for each requirements session at least five (5) business days in advance to the participants.
Define	Contractor	Conduct and document requirements sessions.
Define	Contractor	Manage time efficiently during the requirements session to ensure efficient use of the participant’s time.
Define	Contractor	Provide a draft report for each requirements session, including but not limited to: issues addressed, decisions made and business rules linked to the requirements, workflows, forms, etc. to the department’s Project Director within three (3) days of conclusion of requirements session.
Define	Contractor	Provide final report of each requirements session, incorporating comments and revisions provided by the department, within three (3) days of receipt of comments and revisions from the department’s Project Director.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Define	Contractor	Obtain the necessary understanding of department and division processes, requirements and data.
Define	Contractor	Describe the business processes that will exist as a result of the new system implementation.
Define	Contractor	Identify any gaps between current and future processes.
Define	Contractor	Analyze and refine the database design.
Define	Contractor	Validate needs through prototyping of functionality, navigation and workflow.
Define	Contractor	Prepare and deliver Define Phase deliverables.
Define	Contractor	Revise deliverables as a result of the review and approval process.
Define	Contractor	Document issues and decisions in the requirements sessions.
Define	Department	Review and approve requirements elaboration schedule or return to the contractor with instructions regarding revisions within ten (10) business days of receipt.
Define	Department	Review and approve the Define Phase deliverables.
Define	Department	Provide the contractor with comments and revisions to draft system requirements specification within fifteen (15) business days of initial receipt. The department reserves the right to extend the review period. The initial review period of fifteen (15) business days for the software requirements specification deliverable is an exception to the rest of the deliverables in this project. As such, the contractor may require up to ten (10) business days of revision time depending upon comments from the department.
Define	Department	Provide subject matter experts (SME) to clarify department and division business processes.
Define	Department	Provide policy, regulation, forms and procedural reference material and interpretations, as needed.
Define	Department	Provide leadership in coordinating efforts with department and divisions for requirements elaboration.
Define	Department	Provide interpretation of legislative statutes and existing policies and procedures.
Design - Functional	Contractor	Prepare and deliver Functional Design deliverables.
Design - Functional	Contractor	Revise deliverables as a result of the review and approval process.
Design - Functional	Contractor	Validate needs through prototyping of forms/screens, menu navigation and business functions. Where possible, provide user experience expertise in the design of the user interface.
Design - Functional	Contractor	Conduct a walk-through of the functional system design.
Design - Functional	Contractor	Revise deliverables and functional system design as a result of the review and approval process.
Design - Functional	Department	Review and approve the Functional Design deliverables



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Design - Functional	Department	Provide policies, regulations, laws, forms and procedural reference material and interpretations of such material, as needed.
Design - Technical	Contractor	Prepare and deliver Technical Design deliverables.
Design - Technical	Contractor	Revise deliverables as a result of the review and approval process.
Design - Technical	Contractor	Create and refine the database design.
Design - Technical	Contractor	Document technical system design issues and decisions in the deliverables.
Design - Technical	Contractor	Conduct a walk-through of the deliverables.
Design - Technical	Contractor	Revise deliverables as a result of the review and approval process.
Design - Technical	Contractor	Develop data relationship design, whereby defining the Extraction, Transformation and Loading (ETL) rules and connecting legacy data to the implemented solution.
Design - Technical	Department	Review and approve the Technical Design deliverables.
Design - Technical	Department	Provide policy, regulation, forms and procedural reference material and interpretations, as needed.
Design - BPR	Contractor	Create future state department and division business processes to reflect the system as designed.
Design - BPR	Contractor	Prepare and deliver Business Process Re-engineering deliverables.
Design - BPR	Contractor	Revise deliverables as a result of the review and approval process.
Design - BPR	Contractor	Update business process diagrams developed by the RLMS Pre-DDI Project's planning vendor.
Design - BPR	Contractor	Rollout the reengineered business processes to the department and divisions.
Design - BPR	Contractor	Develop a Fit-Gap analysis of the current and future state department and division business processes to reflect the system as designed.
Design - BPR	Contractor	Refine and execute the Organizational Change Management (OCM) Communication Plan to prepare for the implementation of the new system; the OCM Plan shall align with the existing and to-be business processes and procedures and staff roles and responsibilities identified by the RLMS Pre-DDI Project's planning vendor's OCM Plan.
Design - BPR	Department	Review and approve Business Process Re-engineering deliverables.
Design - BPR	Department	Participate in business process design and revision activities.
Design - BPR	Department	Provide interpretation of applicable statutes, rules and department and division policy and guidance documents to the contractor.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Design - BPR	Department	Develop and implement any policy changes required to support new business processes.
Design - BPR	Department	Conduct organizational change management activities to ensure successful implementation of the new system.
Design - Interface Definition	Contractor	Provide documentation on interfaces specifying purpose, format, content, frequency and processing for each interface transaction.
Design - Interface Definition	Contractor	Provide meeting minutes of each interface session, including issues addressed and decisions made, to the department's Project Director within five (5) days of conclusion of the interface meeting.
Design - Interface Definition	Contractor	Prepare and deliver Interface Definition deliverable.
Design - Interface Definition	Contractor	Revise deliverables as a result of the review and approval process.
Design - Interface Definition	Department	Work with the contractor to develop the prioritized scope of interfaces to be developed.
Design - Interface Definition	Department	Assist the contractor in facilitation of activities with external agencies.
Design - Interface Definition	Department	Provide a memorandum of understanding with each agency prior to development of the interface.
Design - Interface Definition	Department	Review and approve Interface Definition deliverables.
Design - Interface Definition	Department	Provide subject matter experts to clarify interface issues.
Design - Interface Definition	Department	Provide policy, regulation, forms, and procedural reference material and interpretations, as needed.
Design - Interface Definition	Department	Provide leadership in coordinating efforts with the department and divisions for interface development.

### Exhibit 8: Design Phase Activities and Responsibilities

Examples of work products/deliverables and descriptions for the Design Phase:



RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Define	Benefits Realization Plan	The Benefit Realization Plan documents the quantifiable metrics that are developed and tracked to measure the benefits of the new solution.
Design - Functional	Fit Gap Analysis and Requirements Validation	<p>The Fit Gap Analysis and Requirements Validation deliverable identifies the gaps between the current and future state requirements of the Department, and then provides a list of the prioritized, validated and approved requirements.</p> <p>Supporting components to the Fit Gap Analysis and Requirements Validation that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Process Models.</li> </ul>
Design - Functional	Requirements Traceability Matrix (RTM)	The RTM deliverable defines the system requirements that must be met by the delivered solution. The RTM shall correspond with specific Use Cases developed by the contractor and provide full traceability of the requirements.
Design - Functional	Initial Installation and Validation Approach	The Initial Installation and Validation Approach deliverable defines the initial installation of software(s) and testing approach to validate that the software has been successfully installed in the environment.
Design - Functional	Systems Design Document	<p>The Systems Design Document deliverable describes, conceptually in business language the approach for tailoring the system to meet the requirements as defined in the RTM.</p> <p>Supporting documents to the Systems Design Document that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Business Design Document;</li> <li>▪ User Interface Control Document;</li> <li>▪ Systems Integration Document;</li> <li>▪ ER Diagram;</li> <li>▪ Data Dictionary;</li> <li>▪ Infrastructure Requirements;</li> <li>▪ Security Requirements;</li> <li>▪ ADA Compliance Requirements;</li> <li>▪ Maintenance Requirements;</li> <li>▪ User Documentation Requirements.</li> </ul>
Design - Technical	Report Development Inventory	The Report Development Inventory deliverable contains the confirmed list of reports that will be delivered as part of the solution.
Design - BPR	Correspondence Development Inventory	The Correspondence Inventory deliverable will contain the confirmed list of correspondence that will be delivered as part of the solution.



RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Design - BPR	Interface Development Inventory	The Interface Development Inventory deliverable contains the confirmed list of interfaces that will be delivered as part of the solution.
Design – Interface Definition	Architectural Design Document	The contractor shall develop an Architectural Design Document that will include the infrastructure and application topology for the system. This should include network topology, subnets and network inventory, machine interconnects, compute and storage resources, backup and Disaster Recovery environment specifications, physical and logical diagrams and complete bill of materials for the hardware and software to support the complete solution.
Design - BPR	Development of Use Cases	The contractor shall leverage the Use Cases developed by the RLMS Pre-DDI Project's planning vendor and develop more in-depth Use Cases for each functionality provided within the new system solution. The Use Cases shall correspond with the RTM and provide full traceability of the requirements.
Design - BPR	Development of Business Process Re-engineering (BPR) Plan	The contractor shall leverage the BPR Plan developed by the RLMS Pre-DDI Project's planning vendor and develop more in-depth BPR Plans to reflect the approved system design and shall document and rollout the new business processes to the department.
Design – Interface Definition	Interface Specification Design Document	The Interface Specification Design Document deliverable will define for each interface the target system, transformation required, coordination, schedule, etc.

**Exhibit 9: Design Phase Deliverable Descriptions**

**2.2.4 DEVELOP**

The objective of the Develop Phase is to convert the deliverables resulting from the configuration sessions of the Design Phase into a complete information system using an iterative development approach that will enable incremental deployments. Additional outcomes of the Develop Phase are to build the system, test the system, conduct data migrations and start preparing the organization for the impact of the changes. Building is comprised of configuring the system and creating development objects to address the specifications documented in the Design Phase. In parallel, data conversion cycles are practiced with incremental target increases in volume and accuracy.

The specific plans for most of the key Develop Phase activities are driven from the strategies agreed upon in the Design Phase.



Testing is comprised of the following general types:

- **Unit** – Self-contained, component-level functional testing of configuration and development;
- **Integration** – Process-oriented testing of end-to-end business functions;
- **User Acceptance Test (UAT)** – Process-oriented testing of end-to-end business functions performed by client end users;
- **System** – Technical production system readiness testing;
- **Security** – Security access testing, including negative testing;
- **Regression** – No change testing.

A testing defect means a process does not function as defined in the mutually agreed upon design document specifications.

The following exhibit defines the severity level categorization for systems integration testing defects:

SEVERITY LEVEL	DESCRIPTION	EXAMPLE
1	System Failure; no further processing is possible.	Complete lack of System Availability, Results, Functionality, Performance or Usability.
2	Unable to proceed with selected functionality or dependents.	System unavailable, key component unavailable, or functionality incorrect and workarounds are not available.
3	Restricted functional capability; however, processing can continue.	Non-critical component unavailable or functionally incorrect and workaround is available.
4	Minor cosmetic change.	Usability errors where screen or report errors do not materially affect quality and correctness of function, intended use or results.

**Exhibit 10: Defect Severity Levels**

Once defects are remediated and re-tested, the test is considered complete when no Severity Level 1 or 2 defects remain and a disposition plan is in place for Severity Level 3 and 4 defects.

Examples of activities and responsibilities for the Develop Phase:

RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Develop - Code and Unit Test	Contractor	Implement a defect tracking and reporting system.
Develop - Code and Unit Test	Contractor	Document, analyze and classify system investigation requests (SIRs).





RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Develop - Code and Unit Test	Contractor	Create new or modified objects and business rules.
Develop - Code and Unit Test	Contractor	Code new or modified programs.
Develop - Code and Unit Test	Contractor	Create unit test cases, test data and test environment.
Develop - Code and Unit Test	Contractor	Perform unit testing.
Develop - Code and Unit Test	Contractor	Prepare Code and Unit Test deliverables.
Develop - Code and Unit Test	Contractor	Prepare and deliver Code and Unit Test deliverables.
Develop - Code and Unit Test	Contractor	Revise deliverables as a result of the review and approval process.
Develop - Code and Unit Test	Department	Review system objects for conformance with software development and documentation standards.
Develop - Code and Unit Test	Department	Provide clarification of requirements and design option decisions.
Develop - Code and Unit Test	Department	Review and approve Code and Unit Test deliverables.
Develop - Code and Unit Test	Department	Coordination of the following activities which may be required of external stakeholders which control the systems that interface with the new system: <ul style="list-style-type: none"> <li>▪ Create new or modified objects.</li> <li>▪ Code new or modified programs, reports and extracts.</li> <li>▪ Create unit test cases, test data and test environment.</li> <li>▪ Prepare code and unit test deliverables.</li> <li>▪ Revise deliverables as a result of the review and approval process.</li> </ul>
Develop - Reports Development	Contractor	Provide documentation on the reports specifying purpose, format, content and frequency.
Develop - Reports Development	Contractor	Design, develop and test the reports.
Develop - Reports Development	Contractor	Prepare and deliver Reports Development deliverables.
Develop - Reports Development	Contractor	Revise deliverables as a result of the review and approval process.
Develop - Reports Development	Department	Work with the contractor to validate the reports identified in the Requirements Definition Document.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Develop - Reports Development	Department	Review and approve Reports Development deliverables.
Develop - Reports Development	Department	Provide subject matter experts to clarify the reports.
Develop - Reports Development	Department	Provide existing reports as needed for clarification.
Develop - Forms and Correspondence	Contractor	Provide documentation on the forms and correspondence specifying purpose, format, content, and frequency.
Develop - Forms and Correspondence	Contractor	Design, develop and test the forms and correspondence.
Develop - Forms and Correspondence	Contractor	Prepare and deliver Forms and Correspondence deliverables.
Develop - Forms and Correspondence	Contractor	Revise deliverables as a result of the review and approval process.
Develop - Forms and Correspondence	Department	Work with the contractor to design and develop the forms and correspondence.
Develop - Forms and Correspondence	Department	Review and approve Forms and Correspondence deliverables.
Develop - Forms and Correspondence	Department	Provide subject matter experts to clarify the forms and correspondence.
Develop - Forms and Correspondence	Department	Provide existing forms and correspondence as needed for clarification.
Develop - Data Conversion	Contractor	Prepare and deliver Data Conversion deliverables.
Develop - Data Conversion	Contractor	Revise deliverables as a result of the review and approval process.
Develop - Data Conversion	Contractor	Develop a comprehensive data conversion plan.
Develop - Data Conversion	Contractor	Develop data conversion specification documents for users and support staff.
Develop - Data Conversion	Contractor	Develop data conversion schedule.
Develop - Data Conversion	Contractor	Develop data conversion routines.
Develop - Data Conversion	Contractor	Conduct full mock data conversion.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Develop - Data Conversion	Contractor	Produce reports of likely duplicate records.
Develop - Data Conversion	Contractor	Develop and run legacy system downloads to feed to the data conversion routines.
Develop - Data Conversion	Contractor	Develop and test the manual data conversion routines.
Develop - Data Conversion	Contractor	Develop and test automated data cleanup routines.
Develop - Data Conversion	Contractor	Run data conversion software for unit test, integration test, system test, performance test, stress test and user acceptance test.
Develop - Data Conversion	Contractor	Test data conversion software in accordance with the implementation and roll out strategy.
Develop - Data Conversion	Contractor	Run data conversion software in accordance with the implementation and roll out strategy, converting all data to the production system.
Develop - Data Conversion	Contractor	Determine with department assistance the legacy system source data fields and the new system's target data fields for all legacy system data elements.
Develop - Data Conversion	Contractor	Develop data relationships from legacy system to the new system.
Develop - Data Conversion	Contractor	Identify missing data (i.e., data needed by the new system but unavailable from existing systems).
Develop - Data Conversion	Contractor	Provide procedures for handling missing data, data exceptions and default values.
Develop - Data Conversion	Contractor	Provide procedures for combining duplicate records into one (1) record.
Develop - Data Conversion	Contractor	Develop data conversion migration test reports.
Develop - Data Conversion	Department	Review and approve Data Conversion deliverables.
Develop - Data Conversion	Department	Review and approve Data Conversion Plan, including data relationships.
Develop - Data Conversion	Department	Provide support to enable the contractor's staff to write and execute data extract programs for legacy systems.
Develop - Data Conversion	Department	Approve procedures for handling missing data, data exceptions and default values.
Develop - Data Conversion	Department	Approve the conditions when two (2) or more records are to be combined as one (1) record.
Develop - Data Conversion	Department	Approve the proposed method to combine multiple records into one (1) record.
Develop - Data Conversion	Department	Approve the proposed method to divide a record into multiple records.
Develop - Data Conversion	Department	Determine the level of manual effort and provide the staff needed.
Develop - Data Conversion	Department	Verify correctness of data conversion routines.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Develop - Data Conversion	Department	Perform manual data cleanup (if any).
Develop - Data Conversion	Department	Perform manual data entry (if any).
Develop - Data Conversion	Department	Assist with manual record merges (if any).
Develop - Data Conversion	Department	Review and approve data conversion design deliverables.
Develop - Data Conversion	Department	Approve the data conversion process as complete.
Develop - Data Conversion	Department	Complete review of data conversion test results.
Develop - Data Conversion	Department	Complete review of mock data conversion results.
Develop - Master Test Plan	Contractor	Develop and provide a comprehensive Master Test Plan for the review and approval of the department and divisions.
Develop - Master Test Plan	Contractor	Revise the Master Test Plan as a result of the department review and approval process.
Develop - Master Test Plan	Contractor	Prepare and deliver Master Test Plan deliverables.
Develop - Master Test Plan	Contractor	Revise deliverables as a result of the review and approval process.
Develop - Master Test Plan	Department	Review and approve Master Test Plan deliverables.
Develop - Master Test Plan	Department	Facilitate the review and approval of the Master Test Plan.
Test - System Integration	Contractor	Prepare and deliver System Integration Test deliverables.
Test - System Integration	Contractor	Revise deliverables as a result of the review and approval process.
Test - System Integration	Contractor	Update the RTM to reflect the relationship between requirements and planned tests.
Test - System Integration	Contractor	Establish the test environments.
Test - System Integration	Contractor	Install and configure the new system to the most current production version of all underlying software, tools and databases, unless the department agrees to an exception.
Test - System Integration	Contractor	Create test data and test files needed for initial testing as well as for re-testing (if any).



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Test - System Integration	Contractor	Conduct integration and system tests. Each module must be tested when it is completed. The compatibility of all modules for the entire system must be tested when all modules have been completed.
Test - System Integration	Contractor	Conduct interface testing.
Test - System Integration	Contractor	Conduct stress and performance testing.
Test - System Integration	Contractor	Conduct usability testing.
Test - System Integration	Contractor	Conduct Use Case and business rule validation testing.
Test - System Integration	Contractor	Correct problems, repeating integration, interface, system, stress, performance and usability testing until expected results are obtained.
Test - System Integration	Contractor	For each set of tests performed, provide documentation for all test results.
Test - System Integration	Department	Review and approve System Integration Test deliverables.
Test - System Integration	Department	Review and approve the contractor's integration test result documentation.
Test - System Integration	Department	Review and approve the contractor's interface test result documentation.
Test - System Integration	Department	Review and approve the contractor's system test result documentation.
Test - System Integration	Department	Review and approve the contractor's stress and performance test result documentation.
Test - System Integration	Department	Review and approve the contractor's usability test result documentation.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Test - System Integration	Department	<p>Participate in all system integration testing activities when testing interfaces with existing systems that are not maintained by the contractor:</p> <ul style="list-style-type: none"> <li>▪ Coordinate the establishment of the test environments in the existing systems.</li> <li>▪ Coordinate the creation of test data and test files needed for initial testing as well as for re-testing (if any).</li> <li>▪ Coordinate the integration and system tests. Each module shall be tested when it is completed. The compatibility of all modules for the entire system shall be tested when all modules have been completed.</li> <li>▪ Coordinate the correction of problems, repeating integration, system, stress and performance testing until expected results are obtained.</li> <li>▪ Coordinate stress and performance testing.</li> <li>▪ For clarification purposes, the completion of the tasks above shall, as between the Parties, be solely the responsibility of the department, and contractor's services will depend upon such completion.</li> </ul>
Test - UAT	Contractor	Prepare and deliver UAT deliverables.
Test - UAT	Contractor	Revise deliverables as a result of the review and approval process.
Test - UAT	Contractor	Establish the application in the UAT environment.
Test - UAT	Contractor	Install and configure the system to the most current production version of all underlying software, tools and databases, unless the department agrees to an exception.
Test - UAT	Contractor	Supply training needed for UAT.
Test - UAT	Contractor	Create UAT data and files needed for initial testing as well as for re-testing (if any). UAT must be conducted with fully converted production data.
Test - UAT	Contractor	Generate UAT plan, test scenarios, and test result logs.
Test - UAT	Contractor	Update requirements traceability matrix to reflect the relationship between requirements and planned user acceptance tests.
Test - UAT	Contractor	Provide support during UAT.
Test - UAT	Contractor	Document and correct issues.
Test - UAT	Contractor	Develop UAT analysis reports.
Test - UAT	Department	Review and approve UAT deliverables.
Test - UAT	Department	Arrange for UAT staff availability.
Test - UAT	Department	Execute user test cases as defined by the UAT Plan.
Test - UAT	Department	Execute ad hoc test cases as determined by the department within the UAT Schedule.
Test - UAT	Department	Review and approve documentation and correction of issues.
Test - UAT	Department	Review and approve UAT analysis reports.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Test - UAT	Department	Review and approve UAT deliverables.

### Exhibit 11: Develop Phase Activities and Responsibilities

Examples of work products/deliverables responsibilities for the Develop Phase:

RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Develop - Code and Unit Test	Development and Unit Test Standards	The Development and Unit Test Standards deliverable defines the process to which modules will be developed, presented and unit tested prior to release to the testing work stream.
Multiple Develop Phases	Module Completion Report	<p>The Module Completion Report deliverable is a milestone document that identifies enhancements made and items to be completed (bugs, fixes, etc.) and indicates a defined module or configured component is ready for promotion to the testing work stream.</p> <p>The Module Completion Report is to be completed at the end of:</p> <ul style="list-style-type: none"> <li>▪ Code Unit Testing;</li> <li>▪ Reports Development;</li> <li>▪ Forms and Correspondence Development.</li> </ul>
Develop - Data Conversion	Data Conversion Plan	The Data Conversion Plan deliverable details the methods and processes to execute the required data conversions from the legacy systems to the RLMS system. This should also include identification of all legacy applications for a Release, master data elements and data governance approach.
Develop - Data Conversion	Data Element Mapping Crosswalk	The Data Element Mapping Crosswalk deliverable defines the mapping and necessary translation of legacy data elements to the data elements in the RLMS solution.
Develop - Data Conversion	Iterative Data Conversion Results (per cycle)	The Iterative Data Conversion Results deliverable provides the detailed results from each formal execution of the mock conversions to the RLMS solution.
Develop - Data Conversion	Final Conversion Report	The Final Conversion Report deliverable provides the detailed metrics and disposition of data elements from the legacy systems to the RLMS solution.



RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Develop - Master Test Plan	Master Test Plan	<p>The Master Test Plan deliverable defines the process and approach for all comprehensive levels of testing and the testing work streams, such as system integration, performance, unit, accessibility, regression and security testing.</p> <p>Supporting plans to the Master Test Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Final Back Out Plan for Controlled Test Environment;</li> <li>▪ Final Test and Validation Plan.</li> </ul>
Test - System Integration	System Integration Test Scripts	The System Integration Test deliverable defines the scripts aligned to Use Cases to systematically verify the solution operations.
Test - System Integration	Performance Test Results	The Performance Test Plan deliverable will detail the testing approach and process used to execute performance tests to verify the system complies with the system service-level agreement(s) (SLAs).
Test - System Integration	Security Testing Plan	The Security Testing Plan deliverable will detail the security assessment approach and process used to execute vulnerability and penetration tests to verify the system complies with IT security standards.
Test - UAT	UAT Training and Support Plan	The UAT Training and Support Plan deliverable describes the processes and approach to preparing the team to execute UAT and details the support that will be provided.
Test - UAT	Key Performance Measures Criteria Report	The Key Performance Measures Criteria Report deliverable defines the metrics that align to the system performance and test performance service level agreement(s) (SLAs) as defined by the requirements.
Test - UAT	UAT Scripts	The UAT Scripts deliverable defines the scripts that will be used to execute UAT.
Test - UAT	Infrastructure Management Plan	<p>The Infrastructure Management Plan deliverable defines the process and approach to tracking and managing infrastructure resources, their support plans and the licensing management.</p> <p>Supporting plans to the Infrastructure Management Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ System Management Plan.</li> </ul>
Test - UAT	System Investigation Request (SIR) Log	The System Investigation Request (SIR) Log categories and documents the status and disposition the various investigation requests during the testing period.
Test - UAT	Security Verification	The Security Verification deliverable documents the results and successful execution of the security testing procedures documented in the Security Testing Plan.





RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Test - UAT	Test/Analysis Problem Report	The Test/Analysis Problem Report deliverable defines the outcome of the systems integrations testing.
Test - UAT	Application Owner User Acceptance (UAT Completion)	The UAT Completion deliverable provides the detailed results of the UAT execution and sign-off.

### Exhibit 12: Develop Phase Deliverable Descriptions

#### 2.2.5 IMPLEMENT

The Implement Phase is used to prepare the application release and the organization so it can effectively use the new capabilities. From a purely technical standpoint, moving the application code, taking backups and switching interfaces requires careful orchestration to minimize downtime and potential risks. While these technical steps are important, preparing the business organization to exploit these new capabilities is even more important. Users need to understand their role and receive training on how to perform it. Authorizations have to be established to perform the necessary tasks while safeguarding unauthorized processes and data.

Implementation has been broken into two basic sub-phases: the steps needed to **prepare for implementation** and the steps needed to **perform the implementation** (often referred to as go-live).

##### 2.2.5.1 IMPLEMENT (PREPARATION)

The objective of the Implement Phase is to verify readiness for production (go-live), including user acceptance, end user training, site preparation, system project management and cutover activities. Preparation serves as a last opportunity to address crucial open issues before go-live is executed.

Examples of activities and responsibilities needed for the Implement (Preparation) Phase:

RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Implement - Training	Contractor	Prepare and deliver Training deliverables.
Implement - Training	Contractor	Revise deliverables as a result of the review and approval process.
Implement - Training	Contractor	The contractor will develop training materials and programs, and deliver training for the following user groups: <ul style="list-style-type: none"> <li>Functional end users: This target group involves supervisors, specialists and support staff from the department, as well as external users of the systems (staff in Tax Collector's offices). The contractor must develop and deliver all core module training,</li> </ul>



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
		<p>appropriate refresher training and relevant updates on the new system's application software. The contractor must test training participants to ensure expected proficiency levels are achieved.</p> <ul style="list-style-type: none"> <li>▪ Super users: This target audience includes functional and technical analysts, trainers, key department and division staff and other staff as identified by the department and divisions.</li> <li>▪ Customer service/help desk/user support specialists: The contractor will develop and implement a customer service, help desk and user support specialist training program that ensures designated staff members are capable of providing effective help desk and user support services. The training for help desk/user support staff members must cover all core module training plus the following knowledge and skill areas:             <ul style="list-style-type: none"> <li>› Customer Service/user support/help desk management;</li> <li>› Customer relations;</li> <li>› Face-to-face and remote diagnosis and troubleshooting techniques;</li> <li>› Knowledge of the new system's application architecture;</li> <li>› Application security and access controls;</li> <li>› Software maintenance;</li> <li>› Reporting, ad hoc querying and data warehousing.</li> </ul> </li> <li>▪ Limited users: This group consists of users from other state agencies, providers and staff from other areas of the department who require a basic knowledge of the use of the system in order to perform their job functions, but who do not require the in-depth training that functional end users require.</li> <li>▪ IT Regulatory Application Support and Infrastructure Support users: The contractor will develop a training program for application and infrastructure support roles. The training must cover all core module training plus the following knowledge and skill areas:             <ul style="list-style-type: none"> <li>› Knowledge of the new system's application architecture;</li> <li>› New system's interfaces and application program interfaces (API);</li> <li>› Firewall and network infrastructure and Disaster Recovery support;</li> <li>› Application security and role-based access controls;</li> <li>› Application maintenance and enhancements</li> <li>› Printing and reporting.</li> </ul> </li> </ul>



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Implement - Training	Contractor	The contractor will facilitate knowledge transfer to department and division stakeholders and all other project team members concerning all aspects of the functionality, use, and reporting capability of the new system, as well as the contractor's approach to planning, analysis, design, construction, configuration and implementation of the new system's application software.
Implement - Training	Contractor	The contractor must incorporate a mechanism to evaluate the effectiveness of the training and ensure user competency into the training program. The evaluation method must be based on an industry standard assessment. If this evaluation indicates that the training is inadequate, the contractor must revise the training program and training materials to improve the training.
Implement - Training	Department	Review and approve Training deliverables.
Implement - Training	Department	Develop and deliver training related to process, operations and regulatory lifecycle changes as a result of the new system implementation. The delivery mechanism for this training may be instructor led, and the contractor will be expected to provide resources with expertise in the department and division programs and the new system's functionality to participate during the department and division procedure training to answer any questions related to the functionality of the new system.
Implement - Training	Department	Work closely with the contractor regarding planning, monitoring, and delivery of training.
Implement - Training	Department	Assign a training team leader from the department's project team, and identify super users.
Implement - Training	Department	Monitor all training provided by the contractor.
Implement - Training	Department	Review evaluation forms and provide feedback on training design and delivery throughout the implementation training period.
Implement - Training	Department	Provide training facilities, as required.
Implement - Training	Department	Schedule the training class dates, reserve classrooms, provide in-class liaison staff, schedule attendees and provide logistical support.
Implement - User Documentation	Contractor	Prepare and deliver User Documentation deliverables.
Implement - User Documentation	Contractor	Revise deliverables as a result of the review and approval process.
Implement - User Documentation	Contractor	Develop user and technical documentation specific to the department.
Implement - User Documentation	Department	Review and approve User Documentation deliverables

**Exhibit 13: Implement (Preparation) Phase Activities and Responsibilities**



Examples of work products/deliverables and descriptions for the Implement Phase:

RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Implement - Training	Final Training Materials	The Final Training Materials deliverable consists of the procedures, courses, schedule, support, curriculum, sample data, etc. needed to train the users of the RLMS.
Implement - User Documentation	Final System and User Documentation Document	<p>The Final System and User Documentation Document deliverable consolidates the system and user documentation specific to the Department required for the operation of the overall solution.</p> <p>Supporting documents to the System and User Documentation Document that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ System Administration Manual;</li> <li>▪ User Manual;</li> <li>▪ Final System Administration Manual.</li> </ul>

**Exhibit 14: Implement (Preparation) Phase Deliverable Descriptions**

**2.2.5.2 IMPLEMENT (GO-LIVE)**

After all the necessary implementation preparation steps have been completed (e.g., user training, data cleansing), implementation go-live tasks are used to transition the user community from the legacy applications to the new enterprise solution. Go-Live is the process of moving from a pre-production environment to a live production environment (go-live), and the beginning of transition of the production application to the support organization.

The SI should provide production support assistance during go-live and sustainment to help facilitate an effective and orderly transition for ongoing production support to the long term support organization.

Activities include:

- Provide heightened production support assistance during the go-live support for one month after go-live.
- Participate in preparing daily reports on incidents and resolution progress on high priority issues.
- Incremental knowledge transfer related to the RLMS project to the support organization.
- Act as issue support group for FDACS Support Desk with respect to implementation issues and problems.
- The SI should provide an estimated six (6) months of sustainment support.

Examples of activities and responsibilities for Implementation go-live:



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Implement - Installation and Implementation	Contractor	Prepare and deliver Installation and Implementation deliverables.
Implement - Installation and Implementation	Contractor	Revise deliverables as a result of the review and approval process.
Implement - Installation and Implementation	Contractor	Develop an infrastructure plan based on a validated server sizing study.
Implement - Installation and Implementation	Contractor	Complete implementation deliverables.
Implement - Installation and Implementation	Contractor	Work with department resources for planning and coordination for installation of all hardware and software supporting the new system.
Implement - Installation and Implementation	Contractor	Deploy the new system to all locations as required by the infrastructure design.
Implement - Installation and Implementation	Contractor	Provide on-site support at each location during the implementation.
Implement - Installation and Implementation	Contractor	Conduct all hardware and software installations.
Implement - Installation and Implementation	Department	Review and approve Installation and Implementation deliverables.
Implement - Installation and Implementation	Department	Review and approve the server sizing study and installation and implementation deliverables.
Implement - Installation and Implementation	Department	Assist the contractor in planning, coordination and execution of hardware and software installations.
Implement - Installation and Implementation	Department	Provide a physical location where the servers will be installed.
Warranty Performance Period	Contractor	Prepare and deliver Warranty Support deliverables.
Warranty Performance Period	Contractor	Revise deliverables as a result of the review and approval process.
Warranty Performance Period	Contractor	Correct reported deviations to approved designs in the new system including all levels of retesting and making all the corresponding documentation changes.
Warranty Performance Period	Contractor	Provide standard warranty available with the commercial product (hardware and/or potential COTS software).



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Warranty Performance Period	Contractor	Coordinate with the contractor any problems identified in the hardware and/or potential COTS software.
Warranty Performance Period	Contractor	Test the updated solution and install or update the changes on the new system.
Warranty Performance Period	Contractor	Continue to follow the change control process as defined for any scope changes.
Warranty Performance Period	Department	Review and approve Warranty Support deliverables
Operations & Maintenance Performance Period	Contractor	Prepare and deliver Operations & Maintenance (O&M) deliverables.
Operations & Maintenance Performance Period	Contractor	Revise deliverables as a result of the review and approval process.
Operations & Maintenance Performance Period	Contractor	Correct reported deviations to approved designs in the new system including all levels of retesting and making all the corresponding documentation changes.
Operations & Maintenance Performance Period	Contractor	Lead the prioritization of maintenance updates.
Operations & Maintenance Performance Period	Contractor	Develop, test and install maintenance updates.
Operations & Maintenance Performance Period	Contractor	Follow the established change management procedures in place and receive department approval for any updates to the applications hardware.
Operations & Maintenance Performance Period	Contractor	Evaluate impact of software upgrades on the new system.
Operations & Maintenance Performance Period	Contractor	Keep all software licenses current and active.
Operations & Maintenance Performance Period	Contractor	Provide hardware preventative maintenance.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Operations & Maintenance Performance Period	Contractor	Provide maintenance of software packages.
Operations & Maintenance Performance Period	Contractor	Provide help desk support.
Operations & Maintenance Performance Period	Contractor	Provide on-site support (if required).
Operations & Maintenance Performance Period	Contractor	Staff Provide Tier 2 and Tier 3 support.
Operations & Maintenance Performance Period	Contractor	Provide help desk support outside the business hours of 8:00AM EST to 5:00PM EST, excluding state holidays. Other hours of operation may be requested by the Department in periods of emergency or disaster response.
Operations & Maintenance Performance Period	Department	Review and approve O&M deliverables.
Operations & Maintenance Performance Period	Department	Review and approve O&M deliverables.
Operations & Maintenance Performance Period	Department	Review and approve any post-warranty work.
Operations & Maintenance Performance Period	Department	Assist with prioritization of maintenance updates.
Operations & Maintenance Performance Period	Department	OATS can provide the basic facilities required for a Level-3 data center based on the size and complexity of the new system. The parties acknowledge and understand that the OATS is a primary data center.
Operations & Maintenance Performance Period	Department	Provide Tier 1 help desk support during the business hours of 8:00AM EST to 5:00PM EST.
Operations Transition	Contractor	Prepare and deliver Operations Transition deliverables.
Operations Transition	Contractor	Revise deliverables as a result of the review and approval process.



RELATED PHASE IN ITN	RESPONSIBLE PARTY	ACTIVITY AND/OR RESPONSIBILITY
Operations Transition	Department	Review and approve Operations Transition deliverables.
Turnover	Contractor	Prepare and deliver Turnover deliverables.
Turnover	Contractor	Revise deliverables as a result of the review and approval process.
Turnover	Contractor	Prepare and submit a Turnover Plan to the department for approval.
Turnover	Contractor	Cooperate with the department or successor contractor while providing all required turnover services.
Turnover	Contractor	Prepare and provide a Work Breakdown Structure for the Turnover Phase of the project.
Turnover	Contractor	Prepare and submit a RLMS Resource Requirement Plan that includes Knowledge, Skills and Abilities (KSAs) to the department or successor contractor.
Turnover	Contractor	Transfer necessary information to the department or successor contractor (reports, records, scanned images and documents shall be indexed).
Turnover	Contractor	Provide training for department staff for the operation of RLMS.
Turnover	Contractor	Coordinate the transfer of RLMS assets.
Turnover	Contractor	Provide Knowledge Transfer to the department or successor contractor upon successful execution of replacement product.
Turnover	Contractor	Complete all deliverables, services and activities with the department or successor contractor associated with the Turnover.
Turnover	Contractor	Perform Financial Reconciliation.
Turnover	Contractor	Work with the department or successor contractor to resolve any Turnover issues.
Turnover	Contractor	Prepare and submit a Turnover Completion Report.
Turnover	Department	Review and approve Turnover deliverables.
Turnover	Department	Notify the contractor of the department's intent to transfer or replace the system at least twelve (12) months prior to the end of the RLMS product lifecycle.
Turnover	Department	Provide the contractor with information needed to create a WBS for the Turnover Phase.
Turnover	Department	Review and approve a Turnover Plan to facilitate transfer of RLMS to the department or to its designated agent.
Turnover	Department	Review and approve a statement of resources, which would be required to take over operation of RLMS.
Turnover	Department	Review and approve a Turnover Completion Report that documents completion of each step of the Turnover Plan.
Turnover	Department	Obtain post turnover support from the contractor in the event of software malfunction.

### Exhibit 15: Implementation (Go-Live) Phase Activities and Responsibilities

Examples of work products/deliverables responsibilities for Implementation go-live:





RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Implement - Installation and Implementation	Detailed Implementation Plan	<p>The Detailed Implementation Plan deliverable outlines the detailed processes and approach to the implementation of the RLMS solution. This shall include a Master Training Plan.</p> <p>Supporting plans to the Detailed Implementation Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Updated Enterprise Schedule;</li> <li>▪ Administrator Training Plan;</li> <li>▪ User Training Plan;</li> <li>▪ Tester Training Plan;</li> <li>▪ Back Out Plan for Production;</li> <li>▪ Final Back Out Plan for Production Environment.</li> </ul>
Implement - Installation and Implementation	Delivered System	The Delivered System deliverable defines the completion of the implementation of the system.
Implement - Installation and Implementation	Post Implementation Security Verification	The Post Implementation Security Verification deliverable defines the results set from all security testing after the system has been implemented in production.
Implement - Installation and Implementation	Final Disaster Recovery Plan	<p>The Final Disaster Recovery Plan deliverable defines the approach for the recovery of the solution in the event of a disaster event. It details the roles, responsibilities, recovery point objectives, recovery time objectives and processes to be executed by the recovery team.</p> <p>Supporting plans to the Disaster Recovery Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Initial Application Restoration Plan.</li> </ul>
Implement - Installation and Implementation	Vendor Triage Daily Report	The Vendor Triage Daily Report deliverable contains the open and resolved defects triaged by the implementation team and their status.
Implement - Installation and Implementation	Vendor Triage Weekly Summary Report	The Vendor Triage Weekly Summary Report deliverable contains the metric summary of defects reported throughout the week on the Triage Daily Report.
Implement - Installation and Implementation	Post Implementation Evaluation Report	The Post Implementation Evaluation Report deliverable details the lessons learned from the activities related to the implementation of the RLMS solution.
Implement - Installation and Implementation	Deployment Checklist	The Deployment Checklist deliverable defines the step by step processes and timing that must be adhered to for the successful pre-implementation, implementation and post-implementation of the RLMS solution.



RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Operations & Maintenance Performance Period	Operations and Maintenance (O&M) Plan	The Operations and Maintenance Plan describes resource organization, responsibilities, policies and general procedures.
Operations & Maintenance Performance Period	Quality Assurance Procedures and Standards Manual	The Quality Assurance Procedures and Standards Manual deliverable defines the thresholds and required testing procedures to maintain the quality of subsequent defect releases.
Operations & Maintenance Performance Period	Vendor Weekly Status Reporting	The Vendor Weekly Status Report provides an executive overview of the system execution and detail of items to be released in the Monthly Performance Report.
Operations & Maintenance Performance Period	Vendor Monthly Performance Report	<p>The Vendor Monthly Performance Report deliverable includes the details of defects, enhancements and resolutions released in the solution for the month delivered.</p> <p>Supporting reports to the Monthly Performance Report that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Key Performance Measures Evaluation Report;</li> <li>▪ Change Log (if applicable).</li> </ul>
Operations & Maintenance Performance Period	Warranty Completion Report	The Warranty Completion Report deliverable provides a summary of the warranty items resolved during the Warranty period.
Operations Transition	Operations Transition Plan	The Operations Transition Plan deliverable defines the processes and procedures and knowledge transfer to successfully transition the operation of the solution to another party.
Operations Transition	Transition Completion Report	<p>The Transition Completion Report deliverable summarizes the milestone of the transition of system operations to another party.</p> <p>Supporting documents to the Transition Completion Report that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Team Performance Evaluation Document.</li> </ul>
Turnover	Turnover Plan	The Turnover Plan deliverable defines the processes, procedures and resource requirements to successfully turnover the operation of the solution to another party.
Turnover	Turnover Completion Report	The Turnover Completion Report deliverable summarizes the milestone of the Turnover of system operations to another party.



RELATED PHASE IN ITN	DELIVERABLE NAME	DELIVERABLE DESCRIPTION
Project Closure	Project Closure Report	<p>The Project Closure Report deliverable details the activities needed to close out all Project activities, tasks and reports.</p> <p>Supporting reports to the Project Closure Report that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> <li>▪ Project Lessons Learned Report;</li> <li>▪ Project Release Document (Signed);</li> <li>▪ Post Implementation Review Report;</li> <li>▪ Post Implementation Evaluation Report;</li> <li>▪ Change Log (Closed Out);</li> <li>▪ Contract(s) Closure.</li> </ul>
Project Closure	Annual Update of Disaster Recovery Plan	The Annual Update of Disaster Recovery Plan deliverable tracks the annual updates of the Disaster Recovery Plan as required.

**Exhibit 16: Implementation (Go-Live) Phase Deliverable Descriptions**

**2.3 COMPETENCY DOMAINS (TEAMS)**

Competency Domains describe the skill sets required for a successful enterprise system implementation project. These Domains are organized into four (4) high level project teams: Project Management, Process, People and Technology. Additional information will be provided below for each of these teams with details on FDACS and SI expectations.

In addition to the specific competencies and skills discussed in this section, it is assumed that all project team members have:

- PC application skills (MS Word, MS Excel, MS PowerPoint, MS Project and Visio).
- Willingness to learn new skills and expand the scope of their understanding.
- Flexibility in responding to the changing priorities of a complex Enterprise System program.
- Adequate communication skills, both verbal and written.

**2.3.1 PROJECT MANAGEMENT TEAM**

The principal objectives of the project management domain are to effectively and efficiently manage the scope, resources, schedule, quality and risks to the program. Competencies in support of the project management domain’s objectives are drawn from various sources and teams.

**Key FDACS skills and experience needed within the Project Management Team:**

- A member of the FDACS executive management team;



- Decision-making authority within the organization;
- Familiarity with FDACS business culture and organizational structure;
- Senior IT executive within FDACS;
- Familiarity with FDACS IT infrastructure and organizational structure;
- Respected within the organization;
- Strong project management skills;
- Respected business process owner within the organization.

### **Key SI skills and experience needed within the Project Management Team:**

- Enterprise System delivery experience with demonstrated leadership and managerial skills;
- Ability to communicate effectively with client senior leadership;
- Ability to advise on strategy, direction and risks;
- Relevant industry experience;
- Demonstrated project management skills;
- Enterprise System delivery experience;
- Ability to manage people, tasks, scope and issues;
- Ability to work closely with process leaders and other key stakeholders, as well as communicate progress;
- Experience managing project financials, progress tracking, reporting and related communications and presentations.

### **2.3.2 PROCESS TEAM**

The process domain manages the solution to make sure it delivers the business capabilities necessary to address the agreed upon business requirements.

### **Key FDACS skills and experience required within the Process Team:**

- Thorough understanding of the FDACS business requirements for each business function and organizational unit;
- Well respected by resources in all business units and organizations in scope;
- Ability to explain and champion the enterprise future state;
- Empowered by the executive leadership team to make process design decisions on behalf of the broader organization;
- Detailed understanding of their respective area;
- Knowledge of existing applications/data and/or processes;



- Understanding of business requirements;
- Ability to develop clear functional specifications to address business requirements;
- Perceived as a team player;
- Strong verbal, written and organizational skills.

#### **Key SI skills and experience required within the Process Team:**

- Knowledge of and prior experience in end-to-end business process area;
- Team leadership experience;
- Detailed understanding and experience in configuring an enterprise system;
- Prior experience designing and implementing business process and enterprise system systems solutions;
- Knowledge of configuration elements within enterprise system;
- Ability to configure enterprise system for a given business process.

#### **2.3.3 PEOPLE TEAM**

The people domain assesses the current organizational structure and guides the organizational change needed to exploit the new enterprise system.

#### **Key competencies required within the People Team:**

- Communication;
- Learning and knowledge;
- Benefits and value realization.

#### **Key skills and experience for FDACS roles in the People Team:**

- Ability and experience facilitating organizational change;
- Able to manage people, tasks, scope, risks and issues;
- General FDACS business knowledge;
- Strong core communication/interpersonal skills;
- Member of the organization communications and change management core team;
- Respected in the organization;
- Perceived as a team player;
- Demonstrated project management skills;
- Training delivery experience.



### **Key SI skills and experience required for the People Team:**

- Knowledge of organizational impact of Enterprise System implementation in large, complex organizations;
- Prior experience designing and developing training materials for Enterprise System;
- Prior experience in communications strategy development and deployment;
- Demonstrated project management skills;
- Experience in Enterprise System training, development, delivery and deployment in multiple environments and utilizing multiple strategies;
- Working knowledge and understanding of various training strategies with blended learning solutions and environments;
- Ability to manage people, tasks, scope, risks and issues;
- Experience with remote team training developers;
- Knowledge of learning technologies.

### **2.3.4 TECHNOLOGY TEAM**

The technology domain consists of four (4) major sub-domains: Information, Integration, Development and Infrastructure. Information technology deals with the quality, usability, reliability, integrity, currency, governance and security of the information that will be used for decision-making in the operational environment. The technology domain also works with the project management office to provide the integration of consistent quality standards, project procedures, integrated tasks and dependencies across the domains and throughout project phases. The technology domain involves timely delivery of tested development objects that address business requirements and development of quality standards. The infrastructure aspect of the technology domain is accountable for providing the appropriate technical environments to allow project work to progress.

### **Key competencies required within the Information sub-domain:**

- Data governance structure definition and implementation;
- Data migration;
- Business Intelligence requirements definition;
- Information security (such as encryption).

### **Key FDACS skills and experience required for the Information sub-domain:**

- Ability to represent a cross-section of stakeholder groups;
- Strong organization and communication skills;
- Experience in implementing policies and procedures;



- Understanding of data governance concepts;
- Experience with business data normalization and consolidation;
- Field level knowledge of legacy data elements to enable FDACS owned data cleansing;
- Understanding of business analytics requirements;
- Ability to develop functional specifications for business analytics.

**Key skills with respect to the SI roles in the Information sub-domain:**

- Experience leading business analytics activities on a global Enterprise System project;
- Understanding and experience with relevant technologies;
- Broad cross functional data knowledge;
- Experience in implementing policies, standards, requirements, guidelines, and data definitions;
- Ability to proactively prioritize and mitigate core data issues;
- Experience with data migration tools and procedures;
- Strong experience with business data normalization and consolidation;
- Experience with data governance principal practices;
- Team leadership experience;
- Strong communication and organization skills.

**Key competencies required within the Integration sub-domain:**

- Integrated solution design;
- Configuration management;
- Test management;
- Cutover management.
- Master Data management

**Key FDACS skills and experience required for the Integration sub-domain:**

- Understanding of to-be process and data;
- Experience in FDACS organization and business;
- Ability to navigate and mobilize FDACS SMEs and decision makers;
- Demonstrated project management skills;
- Global enterprise system test management experience;
- Able to manage people, tasks, scope, risks and issues;



- Strong communication skills;
- Understanding of full lifecycle test methodology.

**Key skills with respect to the SI roles in the Integration sub-domain:**

- Demonstrated project management skills;
- Strong communication and coordination skills;
- Broad, deep and hands-on enterprise system functional and technical delivery experience;
- Ability to manage people, tasks, scope, risks and issues;
- Enterprise system test management experience;
- Understanding of full lifecycle test methodology.

**Key competencies required within the Development aspects of this sub-domain:**

- Development planning and governance;
- Development specifications;
- Development object coding and unit testing;
- Development quality assurance;

**Key FDACS skills and experience required for the development sub-domain:**

- Strong familiarity with existing legacy landscape;
- Experience in leading legacy developers;
- Prior experience designing, developing, coding and testing legacy applications and data conversions.

**Key SI skills and experience required for the development sub-domain:**

- Experience with enterprise system custom development including enhancements, interfaces and data conversions;
- Experience designing and developing middleware solutions with enterprise system environments;
- Experience leading global development resources (local and remote);
- Technical and functional competence to conduct functional specification and application code reviews;
- Business Packages (BP) implementation experience;
- Experience with portal federation;





- Prior experience designing, coding and testing custom developed programs;
- Portal branding experience (website customization);
- Portal Administration experience: Portal Content Directory object creation and maintenance;
- Experienced in knowledge management and collaboration.

**Key competencies required within the Infrastructure aspects of the Infrastructure sub-domain:**

- Enterprise system technical architecture design;
- Enterprise system security authorization design;
- Enterprise system administration.

**Key FDACS skills and experience required for the infrastructure sub-domain:**

- Experience with enterprise system and applicable technical architectures;
- Knowledge of existing application landscape;
- Ability to think at strategic level and verify link to business strategy;
- Experience in operating system administration;
- Willingness to learn enterprise system related operating system impacts;
- Experience in database administration;
- Willingness to learn enterprise system related database impacts;
- Understanding of legacy system security requirements;
- Understanding of security policies;
- Ability to develop clear security functional specifications to address business needs;
- Trained on the enterprise system authorization concept.

**Key SI skills and experience required for the infrastructure sub-domain:**

- Experience of implementing technical solutions for complex enterprise systems;
- Experience in enterprise system administration;
- Portal development experience;
- Experience with Single Sign-on (SSO) setup between portal and other backend systems;
- Experience with security mapping and portal role creation;
- IT audit background and segregation of duties experience.



### 2.3.5 RLMS PROJECT KEY NAMED STAFF

In addition to the Competency Domains, a team of Key Named Staff is integral to the successful development and implementation of the RLMS. At a minimum, these Key Named Staff positions shall be solely dedicated to the project and be available and on-site throughout the entirety of the project. Each member of the Key Named Staff shall have successful and verified regulatory environment experience with projects of this size, scope and complexity, as well as their resulting product(s).

The exhibit below outlines the contractor’s Key Named Staff and their accompanying requirements and responsibilities.

KEY NAMED STAFF ROLE	REQUIREMENTS AND RESPONSIBILITIES
One (1) Senior Project Manager	<ul style="list-style-type: none"> <li>▪ The contractor’s Project Manager must have a minimum of five (5) years of experience within the last seven (7) years in this job class.</li> <li>▪ In addition, the Project Manager should have a Project Manager Professional (PMP) certification or equivalent.</li> <li>▪ The Project Manager shall have the primary responsibility for coordinating the overall project tasks, including project planning, scheduling and staffing and change management.</li> </ul>
One (1) Senior Business Analyst	<ul style="list-style-type: none"> <li>▪ The business analyst must have a minimum of five (5) years of experience within the last seven (7) years in this job class.</li> <li>▪ Responsibilities shall include: analyze and document business requirements and processes; prepare solutions that satisfy these requirements, which may involve business process re-engineering and/or the deployment of information technology; plan and/or conduct end user training; construct data/activity/process models as may be required to define system functions; and provide support for the installation, UAT testing, data conversion, implementation and ongoing maintenance of the system.</li> </ul>
One (1) Quality Assurance Manager (QAM)	<ul style="list-style-type: none"> <li>▪ The contractor shall provide a management level person to perform QAM duties. The QAM shall have a minimum of five (5) years of experience within the last seven (7) years in this job class.</li> <li>▪ Responsibilities shall include: participate in developing the Project’s Quality Management Plan; assure that contractor quality control activities are performed and documented; assure that corrections identified through those activities are made; assure that corrections identified by department quality review are made; administer the contractor’s process for resolving reported problems; and collect and report quality metrics for the contractor’s work activities.</li> </ul>



KEY NAMED STAFF ROLE	REQUIREMENTS AND RESPONSIBILITIES
One (1) Configuration Manager (CM)	<ul style="list-style-type: none"> <li>▪ The contractor shall provide a management-level person or persons to perform the CM duties. The CM shall have a minimum of five (5) years of experience within the last seven (7) years in this job class.</li> <li>▪ Responsibilities shall include administering the contractor's responsibilities within the project's change management process; administering the project's configuration management process and tool(s); and collecting metrics from these activities as required by the Quality Management Plan.</li> </ul>
One (1) Data Conversion Lead	<ul style="list-style-type: none"> <li>▪ The Data Conversion Lead shall have at least five (5) years of experience within the last seven (7) years in this job class.</li> <li>▪ Responsibilities shall include data conversion activities; manual and automated data conversion; and system software conversion activities.</li> <li>▪ This role shall have previous working experience with the employed solution products and Master Data Management Requirements.</li> </ul>
One (1) Operations Manager	<ul style="list-style-type: none"> <li>▪ The Operations Manager shall have a minimum of five (5) years of experience within the last seven (7) years in this job class.</li> <li>▪ The Operations Manager shall have the primary responsibility for the daily operations of the DDI Project until the contract end date, work with department information systems staff to coordinate and monitor all aspects of production processing, both online and batch; determine correct recovery and back out procedures to ensure data integrity; monitor data sets, databases and libraries to ensure adequate space allocation and data availability; monitor migrations of new or modified programs and program components across multiple test and production environments; monitor and manage online system response time; inform appropriate department information systems staff of the status of the system; participate in disaster recovery exercises; and provide operations support twenty-four (24) hours a day, seven (7) days per week.</li> </ul>



KEY NAMED STAFF ROLE	REQUIREMENTS AND RESPONSIBILITIES
One (1) Test Manager	<ul style="list-style-type: none"> <li>▪ The Test Manager shall have a minimum of five (5) years of current experience within the last seven (7) years in this job class.</li> <li>▪ The Test Manager shall have the primary responsibility for leading comprehensive software testing and quality assurance associated with the DDI Project until the contract end date.</li> <li>▪ Responsibilities shall include development of test scripts, test plans, expected results tables and system problem documentation and resolution for functional, system and integration testing.</li> <li>▪ In addition, the Test Manager will provide direction to the department testing team in conducting user acceptance testing, to include coordinating with line staff and management representatives from a number of technical and non-technical areas to establish development and testing priorities and strategies; verifying the correct functions of new and revised system components; monitoring the progress of testing efforts; developing corrective action strategies in response to documented problems; and scheduling and authorizing the implementation of new and revised programs.</li> <li>▪ The Test Manager shall have familiarity with a requirements management tool as part of an application lifecycle management solution to support full forward and backward traceability and tracking of the project requirements.</li> </ul>
One (1) Chief Solutions Architect	<ul style="list-style-type: none"> <li>▪ The Chief Solutions Architect must have a minimum of seven (7) years of experience within the last ten (10) years in this job class, including large, complex application systems development and integration; and highly scalable technology solutions that adjust to cyclical business patterns.</li> <li>▪ The Chief Solutions Architect shall have the primary responsibility for the overall technical vision and implementation of the system and will coordinate the activities of other architects.</li> <li>▪ This role also leads the contractor activities related to architecture reviews during the Design and Develop Phases.</li> <li>▪ This role shall have previous working experience with the employed solution products.</li> </ul>
One (1) Application Software Architect	<ul style="list-style-type: none"> <li>▪ The Application Software Architect must have a minimum of five (5) years of experience within the last seven (7) years in this job class, including large, complex application systems development.</li> <li>▪ The Application Software Architect shall have the primary responsibility for developing and overseeing the application software structure and design for both new development and off-the-shelf components and frameworks.</li> <li>▪ This role shall have previous working experience with the employed solution products.</li> </ul>



KEY NAMED STAFF ROLE	REQUIREMENTS AND RESPONSIBILITIES
One (1) Organizational Change Management (OCM) Lead	<ul style="list-style-type: none"> <li>▪ The OCM Lead shall have a minimum of five (5) years of relevant experience.</li> <li>▪ The OCM Lead shall handle all aspects of the Organizational Change Management, Communication and Training Coordination between the contractor and the department; contribute to meeting agendas and present on topics as specified by the RLMS OCM Lead; contribute to reviewing and producing documentation to support OCM Communication Activities; report the current list of known issues / system defects, remediation plan and workarounds during UAT through post implementation; report the current project status and any current issues during the DDI Phase through post implementation; provide coordination within the OCM Team to communicate training needs, schedules and related materials.</li> <li>▪ The OCM Lead shall facilitate and work with the identified Change Champions in order to implement activities outlined in the Stakeholder Analysis, OCM Assessment and OCM Approach/Plan.</li> <li>▪ Prosci Certified.</li> </ul>
One (1) Training Lead	<ul style="list-style-type: none"> <li>▪ The Training Lead shall have a minimum of five (5) years of relevant experience.</li> <li>▪ The Training Lead shall develop training curriculum through consultation with the Senior Business Analyst; plan and schedule the training; and work with the training and development team for the duration of training.</li> <li>▪ The Training Lead shall have familiarity with learning management systems and computer-based training in order to develop, plan and execute training.</li> </ul>

**Exhibit 17: Key Named Staff Requirements and Responsibilities**



## SECTION 3 ORGANIZATIONAL CHANGE MANAGEMENT

The RLMS will change the way people work to deliver activities across the regulatory lifecycle, and the way related technology is supported across the department. With the anticipated improvement in system capabilities (e.g., workflow, business rules, mobile access, and self-service), some data entry tasks will shift from FDACS staff to the customer, offering FDACS staff the opportunity to spend more time on higher priority duties, and for staff in the field to move towards paperless workflow and real-time data management. Migrating to RLMS presents significant opportunities for efficiency gains and requires significant changes to the way the department and its employees work today.

Effective Organizational Change Management (OCM) is associated with greater probability of project success (achieving the full benefit of RLMS), increased management and end user buy-in and faster adoption/execution of the desired change. A robust communication and change management plan is key for successful change adoption, and supports FDACS employees and other stakeholders as they become aware of the changes, adapt to and benefit from new processes and tools.

### 3.1 OCM OVERVIEW

OCM is a comprehensive set of practical and proven strategies, tools, and tactics designed to mitigate the business and human risks associated with major organizational changes. It is the process of aligning people with changes in strategy, business processes and technology to help an organization achieve goals associated with a particular change initiative. Effective OCM is associated with an improved probability of project success, increased management buy-in and higher end user acceptance than if OCM were not applied.

The concept that change can be effectively managed is based on the assumption that certain strategies can be applied to influence human and organizational behavior. These strategies include such things as ongoing two-way communication, visible and consistent leadership commitment, and involvement from people impacted by the change. Activities often associated with OCM include:

- Stating the benefits of the change clearly and consistently;
- Identifying and coaching key leadership and management sponsors to support and sanction the change;
- Identifying stakeholder groups impacted by the change;
- Planning and executing communications to support key stakeholder needs;
- Identifying and proposing opportunities for stakeholder involvement;
- Planning for and executing an education and training program for stakeholders based on the new system, processes, policies, procedures and responsibilities;
- Assessing the impact of process, organization and job changes, and aligning the organization through performance measures, incentives, management policies and internal processes;



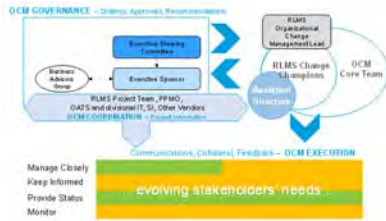
- Assessing and managing resistance to change.

### **3.1.1 OCM FUNCTIONAL MODEL**

To guide and execute OCM efforts, the RLMS Pre-DDI vendor designed a structured engagement model focused on serving the needs of stakeholders reflecting the understanding of FDACS and the goals set by its leadership. The relevance of the model hinges on:

- Ensuring engagement and participation throughout the department from the beginning of the project lifecycle which, as research shows, is a critical factor for successful programmatic change.
- Providing direction and coordination for key change-related roles, and the ability to learn from the experts on the needs of each impacted division with the employees in the forefront of planning activities and strategic OCM decisions.
- The recognition that “all change is local” and embraced at an individual level through the ability to leverage FDACS resources in each regulatory program area to achieve the change goals in the way that is best for their area.
- FDACS’ commitment to choosing and empowering an internal change leader role (RLMS OCM Lead) because successful transformation cannot be accomplished solely by third-parties.
- The recognition that FDACS is embarking on an ongoing conversation with stakeholder groups to be executed through the Communication Plan and monitored and tracked with the Change Readiness Assessment.

Change Management objectives are accomplished by establishing an OCM Execution Team consisting of the RLMS OCM Lead, the OCM Core team, the RLMS Change Champions who are representatives of all of the affected areas and stakeholders, and the department’s Assistant Directors (exhibit below).



### Exhibit 18: RLMS OCM Functional Model

OCM GOVERNANCE: STRATEGY, APPROVALS, RECOMMENDATIONS	
FDACS Project Oversight	The governance over the RLMS project: The Executive Steering Committee, the Executive Sponsor and the Business Advisory Group.
OCM COORDINATION: PROJECT INFORMATION	
FDACS Project Administration	The execution and implementation of the RLMS project: The RLMS Project Team, PPMO, the System Integrator and other vendors.
OCM EXECUTION: COMMUNICATIONS, COLLATERAL, FEEDBACK	
RLMS OCM Lead	An FDACS individual to function as the focal point for organizational transformation.
OCM Core Team	The group of individuals charged with the ownership and execution of OCM and Communication activities including: The RLMS Workforce Transition and OCM work streams leads; FDACS Internal Communications; the RLMS Change Champions; and Assistant Directors.
RLMS Change Champions	A named individual(s) who represents an area or group of people for purposes of providing OCM activities. The appointed individual(s), on behalf of a stakeholder group, serve as a channel for OCM and Communication activities.
Assistant Directors	Same individuals as RLMS Change Champions in some cases or other individuals who can be primarily accountable for understanding and reporting on the business implications of the change impact.

### Exhibit 19: RLMS OCM Functional Model – OCM Teams





### 3.1.2 OCM FRAMEWORK AND PHASES

The exhibit below details the RLMS deployment timeline, which drives the OCM process phases. Common and proven effective change management processes are built around these three general phases (which will likely need to be repeated for each release). The RLMS Pre-DDI vendor embraces and has adapted the Prosci® approach, and has developed the following OCM and Communication timeline based on the specific understanding of the department and its needs:

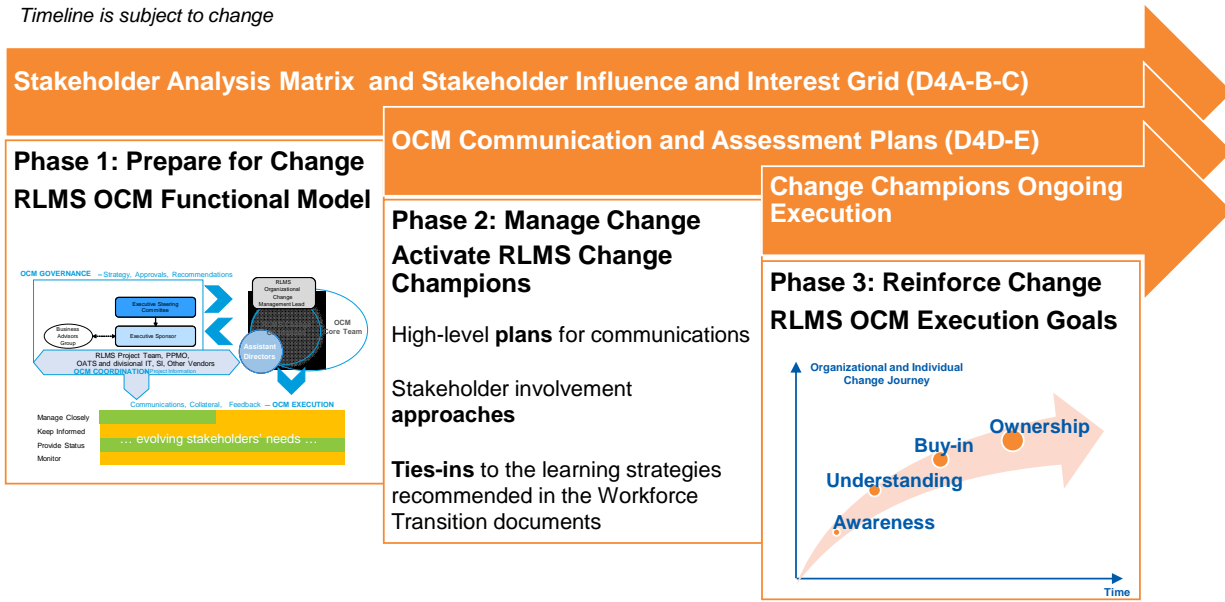
- **Phase 1 – Prepare for change** (Preparation, assessment and strategy development);
- **Phase 2 – Manage change** (Detailed planning and change management implementation);
- **Phase 3 – Reinforce change** (Data gathering, corrective action and recognition).

The exhibit below maps the three (3) OCM Phases above to the RLMS Timeline for Release 1 and presents, in summary, key elements of each phase to frame how the RLMS Pre-DDI vendor is applying the RLMS OCM Functional Model to help govern change management execution.



2015	2016	2017	2018					
<b>Pre-DDI</b>								
<b>8 / 2015 – 3 / 2016</b>	<b>Invitation to Negotiate</b>	<b>DDI (Release 1)</b>				<b>Go-Live DOL</b>		
<ul style="list-style-type: none"> <li>· Business Process Mapping</li> <li>· Business Process Re-engineering</li> <li>· Organizational and Workforce Transition Planning</li> <li>· Procurement Support</li> <li>· Data Strategy Planning</li> <li>· Portfolio &amp; Project Management Office and Governance Planning</li> </ul>	<b>7 / 2016 – 3 / 2017</b>	A	B	C	D	E	F	<b>7 / 2018 – 9 / 2018</b>
	<ul style="list-style-type: none"> <li>· Release of ITN</li> <li>· Receipt/ Evaluation of Responses</li> <li>· Negotiation</li> <li>· Award</li> </ul>	<b>4 / 2017 – 7 / 2018</b>						<ul style="list-style-type: none"> <li>· Operational Support</li> <li>· Issue Resolution</li> </ul>
		<ul style="list-style-type: none"> <li><b>A:</b> Plan</li> <li><b>B:</b> Requirements Validation</li> <li><b>C:</b> Configure</li> <li><b>D:</b> Testing</li> <li><b>E:</b> User Acceptance Testing</li> <li><b>F:</b> Training</li> </ul>						

Timeline is subject to change



**Exhibit 20: OCM Phases**

It is important to note in order to execute projects right the first time, change management must play a coordinated role within the project management team. To have a successful transition, synchronization between the OCM activities and other work streams is imperative.

### 3.1.3 WORKFORCE TRANSITION ANALYSIS

The Workforce Transition Analysis is designed to be a strategic tool to guide management in decision-making on how to best adapt and support the organization and its resources to meet future needs. It articulates the impacts of, and how to plan for, a transition effort that closely



aligns people with directional business strategy (desired future state of the organization), and makes optimal use of improved and technology enabled processes.

The Regulatory Lifecycle Management System – Pre-Design, Development, and Implementation Project, is one of the deliverables that addresses the overall organization and workforce, strategies, and activities needed for FDACS to be willing, able and capable of moving to the new environment and using the new system to deliver better outcomes for those regulated/served by the department.

Workforce Transition encompasses the set of activities necessary for employees to successfully master the new ways of working after the RLMS is in place, including the knowledge, skills and abilities required to operate in the new environment. The new ways of working may result in changing where and how activities get completed and by whom, including workflows, approvals and handoffs.

The exhibit below depicts the RLMS Pre-DDI vendor Workforce Transition work stream and how related deliverables are driven by the findings of the Workforce Transition Analysis. Associated deliverables that are part of the work stream include:

- Role-Based Skills Assessment and Gap Analysis;
- Workforce Training Plan and Workforce Knowledge, Skills and Abilities Transition Plan.



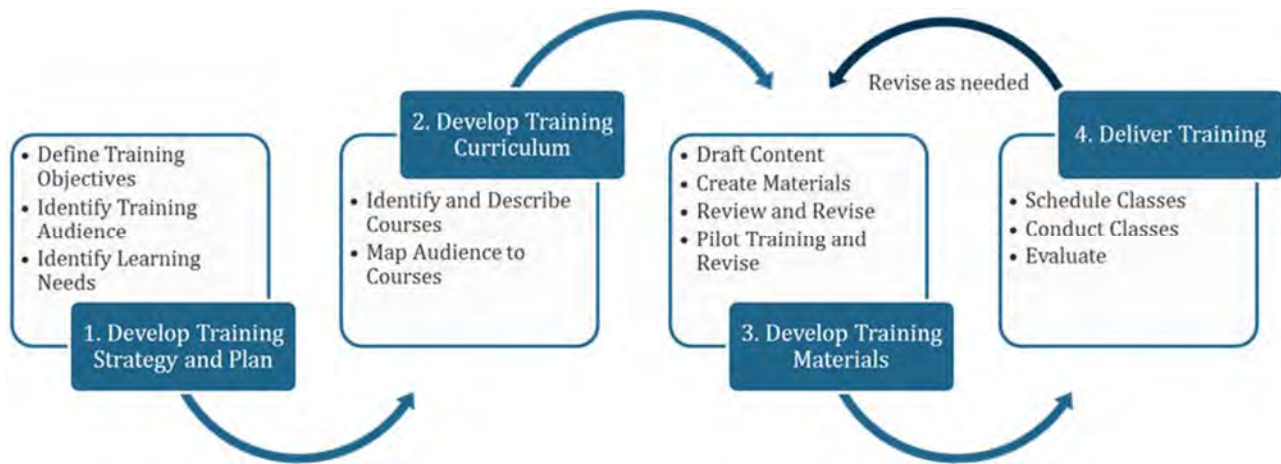
**Exhibit 21: Workforce Transition Work Stream**

### 3.1.4 WORKFORCE TRAINING/TRANSITION

The project will assign training leads, training developers, trainers and/or training coordinators. One individual can perform more than one training role during the project lifecycle.

Specialized training and coaching is essential to close any performance, knowledge, skill, cultural or competency gaps, which could prevent a successful implementation of a new system, organizational redesign or process change. There is a close tie between training and communications. Both work streams strive to increase awareness and understanding of the change.

The training approach starts with developing the training strategy to ensure it meets the needs of the project when the training is delivered.



**Exhibit 22: Workforce Training Approach**

Training solutions consider computer-based or web-based training, online meetings, facilitated workshops, instructor led training, train the trainer, web recordings, job aids, experiential exercises and strategy gaming. The Workforce Training and Transition Plans deliverables are “living” documents to guide training activities and capture outcomes and progress – the strategies, tools and templates that support training and transition efforts can be updated throughout the RLMS release phases.

Similarly, it is important to identify training metrics to determine training effectiveness and creating a training scorecard. Evaluations and surveys conducted during and after the training capture training effectiveness and are useful for revising and improving training as needed.

### **3.1.5 COMMUNICATION PLANNING**

The RLMS Communication Plan outlines recommended communication activities to support the RLMS project throughout its lifecycle. Components of the communication plan include:

- Identification of stakeholders and audiences that are a target for the plan;
- Identification and evaluation of communication events best suited for FDACS;
- The RLMS Communication Action Plan Template to guide execution of communication activities;
- Definition and guidance on governance for the RLMS Communication Plan.

Communication which reflects stakeholder needs and feedback is vital to ensure project success. Effective communication requires careful planning and governance to ensure that identified stakeholder groups and audiences receive appropriate information to ensure they know what is happening and what might be expected of them at key points throughout the lifecycle of the project. Hence, communication plans support enterprise transformation by supporting stakeholders as they seek information and make their personal decisions to accept



and embrace change. Communication plans also help manage people’s expectations, and overcome barriers to change.

To maximize effectiveness, the communication strategy should focus on the following objectives:

- Promote ownership and acceptance of the process, technology and organizational changes that will accompany the project.
- Guide project sponsors and leaders in the communication development and delivery process.
- Ensure stakeholders receive appropriate communication regarding the project.
- Promote consistent and regular communication.
- Reduce fear and resistance.
- Communication wins.
- Ensure people receive and understand the messages sent.
- Promote two-way communication regarding the project.

A core function of the RLMS Communication Plan is to support the RLMS Future OCM Vision and Strategy, and support the stakeholders’ change journey from Awareness to Ownership as depicted in the exhibit below.



**Exhibit 23: Communication and OCM Vision and Strategy**



The RLMS Communication Plan deliverable also presents the principles, analysis and communication methods identified for developing the RLMS Communication Plan. The plan is composed of the identification of stakeholders and audiences, the RLMS Communication Action Plan Template and the communication plan governance components which include ownership, principles, feedback mechanisms and protocols for updates and reviews.

By its dynamic nature, the Communication Action Plan Template is intended to be a living document throughout the deployment of RLMS releases, and can be expanded and revised as necessary by the RLMS OCM Lead.

**FLORIDA DEPARTMENT OF AGRICULTURE AND  
CONSUMER SERVICES**

**REGULATORY LIFECYCLE MANAGEMENT  
SYSTEM (RLMS) STUDY PROJECT**

*RLMS Portfolio Analysis*

Date: 10/21/2014  
Version: 100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
9/24/14	North Highland	001	Developed first draft of Portfolio Analysis
10/03/14	North Highland	002	Updated based on FDACS Walkthrough
10/10/14	North Highland	003	Updated based on North Highland QA
10/20/14	North Highland	004	Updated based on FDACS Review
10/21/14	North Highland	100	Baseline

### Quality Review

NAME	ROLE	DATE
John Hicks, PMP	Project Manager	10/08/2014
Scott Rainey, PMP	Engagement Manager	10/08/2014
Steven Smith and Patrick Bragg	North Highland QA	10/09/2014



## SECTION 1 INTRODUCTION

The North Highland team understands the Regulatory Processes Portfolio Analysis serves as a basis for building a business case and specifically provides input into Sections II and VI of a Schedule IV-B. To determine whether a system’s functionality could be included in the future solution requires a significant effort.

## SECTION 2 APPROACH

Our approach for developing the Portfolio Analysis was to first review Department-furnished data. North Highland worked with the Department to identify relevant data and answer questions resulting from subsequent data reviews. The North Highland team reviewed available process flows and data models for over 60 regulatory systems currently used across the Department. Based on the initial review of the existing data a high-level RLMS Framework was developed to frame the discussions in the interviews.



Exhibit 1: RLMS Framework

Once the North Highland team reviewed the available regulatory system data, we worked with the Project and Portfolio Management Office (PPMO) team to schedule meetings with system contacts/owners in order to understand each system’s functions and the business processes it supports. We used the Department-furnished data to tailor the discussion for each interview, allowing us to ask targeted questions about each system and its related business processes. More detailed information about each system was gathered including system data sources and volumes, data flows, issues and challenges, opportunities, and information requirements. More than 20 interviews were conducted over a four-week period, including meetings with

[Florida Department of Agriculture and Consumer Services – Regulatory Lifecycle Management System \(RLMS\) Study Project](#)



stakeholders from the Divisions, Offices, PPMO, as well as with the Office of Policy and Budget. Each interview included the following topics for discussion:

- Current Hardware and Software Environment
- Data Sources and Volumes
- Data Flow/Architecture Review
- Issues, Challenges, and Opportunities
- Future State Requirements
- RLMS Roles in the Business Process

## SECTION 3 GENERAL ANALYSIS

### 3.1 SUMMARY OF THE CURRENT HARDWARE AND SOFTWARE ENVIRONMENT

The Department's regulatory charge encompasses the issuance of licenses, permits, registrations, and certifications as well as efforts to assist businesses and individuals with maintaining compliance with laws and regulations. The missions of the Divisions and Offices are diverse and so are the applications and systems that support them. For example, the Divisions and Offices require applications and systems to support water quality best practices, citrus disease identification and control, testing for chemical residue in food, fair ride safety, petroleum product integrity, tracking the health of farm animals, and issuance of concealed weapons licenses.

Thirteen of the Department's twenty-four divisions and offices directly manage regulatory programs. The regulatory application portfolio itself contains approximately 60 applications. The Florida Department of Agriculture and Consumer Services (FDACS) Regulatory Application Portfolio Profile provides information about each application that plays an important regulatory support role. The composition of the application portfolio ranges from legacy systems nearing the end of life to systems that have been recently deployed. The systems range from large-scale web applications to a collection of single purpose Microsoft Access databases. The portfolio includes custom applications, commercial-off-the-shelf (COTS) solutions, and significantly customized COTS solutions. These applications provide varied functionality that includes, but is not limited to, the following:

- Applicant/Registrant Tracking
- Geographic Information System (GIS) Mapping
- Document Management Integration
- Mobile Inspections and Customer Access
- Case Management

The current application portfolio results in disjointed functionality that could be leveraged at an enterprise level to improve business processes. For example, various regulatory business



programs require document imaging functionality. However, the current application portfolio restricts access to documents within the program area in certain instances. In other instances, business programs use stand-alone imaging systems that do not interact with the primary regulatory application while other program areas lack access to imaging in any form or fashion.

Many programs experience similar problems with respect to case management functionality. Numerous regulatory areas do not have case management functionality, which results in information being transferred through manual delivery of file folders. These divisions and offices would benefit from a true enterprise case management system, allowing an incident to be tracked from inception to resolution - even across divisions.

For more details on each individual system refer to the Master Regulatory Portfolio.

### 3.1.1 HARDWARE AND SOFTWARE COST

To maintain the current systems the Department maintains some of those hardware and software environments centrally and some are maintained by the Division or Office that owns the system. The table below provides the current hardware and software cost for the systems maintained centrally by the Department.

SERVERS	HARDWARE EXPENSE		SOFTWARE EXPENSE	
	INITIAL COST	YEARLY SUPPORT	INITIAL COST	YEARLY SUPPORT
<b>Production</b>				
ORAPROD1/SUNGIS2 (Solaris M10-1)	\$23755.00	\$3186.00	\$80000.00	\$20000.00
AGR Oracle Enterprise Database				
DOA Oracle Enterprise Database				
EGIS Oracle Enterprise Database				
MOBL Oracle Enterprise Database				
PICS Oracle Enterprise Database				
DOF Oracle Enterprise Database	\$23755.00	\$3186.00	\$60000.00	\$15000.00
LIMS Oracle Enterprise Database				
LIMS Oracle Enterprise Database				



SERVERS	HARDWARE EXPENSE		SOFTWARE EXPENSE	
	INITIAL COST	YEARLY SUPPORT	INITIAL COST	YEARLY SUPPORT
ORAPROD2 (Solaris T5220)	\$8800.00	\$540.00	\$60000.00	\$15000.00
DOCS Oracle Enterprise Database				
SUNZONE4 (Solaris T5220)	\$8800.00	\$540.00	\$17600.00	\$7500.00
OASPROD - Weblogic 11g				
SUNOAS - Application Server - 10g				
SUNORA4/5 - CMAN				
FLAME (Solaris V210)	\$6000.00	\$1944.00		
Fire Weather Service				
BLAZE (Solaris V215)	\$6000.00	\$1088.00		
Fire Weather Service				
LTO6 Tape Drives (3)	\$6375.00			
<b>Development/Test</b>				



SERVERS	HARDWARE EXPENSE		SOFTWARE EXPENSE	
	INITIAL COST	YEARLY SUPPORT	INITIAL COST	YEARLY SUPPORT
ORADEVTEST (Solaris T4)	\$16000.00	\$3000.00	\$24000.00	\$4800.00
AGRDV Oracle Standard Database AGRTE Oracle Standard Database DOADV Oracle Standard Database DOATE Oracle Standard Database EGISDV Oracle Standard Database EGISTE Oracle Standard Database MOBLDV Oracle Standard Database MOBLTE Oracle Standard Database MOBLTR Oracle Standard Database PICSDV Oracle Standard Database PICSTE Oracle Standard Database DOFDV Oracle Standard Database DOFTE Oracle Standard Database LIMSDV Oracle Standard Database LIMSTE Oracle Standard Database DOCSDV Oracle Standard Database DOCSTE Oracle Standard Database				
SUNZONE5 (Solaris T5220)	\$8800.00	\$540.00	\$8000.00	\$2000.00
OASDEV - Application Server - 10g OASTEST - Application Server - 10g				

**Exhibit 2: Current Hardware and Software Cost**



### 3.2 DATA SOURCES AND VOLUMES

In the current FDACS environment, data is stored in multiple databases. Over time, each Division and Office developed unique databases as the need arose without centralized, enterprise oversight. This approach has led to:

- **A general lack of consistency across the data elements and definitions.** The data is physically stored across a variety of platforms and formats such as Oracle, SQL Server, MS Access, and MS Excel.
- **A considerable degree of duplication of data across the department** and even within single divisions. In many cases, the same type of information is stored by each program area or Division, but with different formats.

The exhibit below outlines the number and type of regulatory data systems by department.

DIVISION/OFFICE	NUMBER OF REGULATORY DATA SYSTEMS
Division of Administration	<ul style="list-style-type: none"> <li>▪ 5 Oracle</li> </ul>
Division of Agricultural Environmental Services	<ul style="list-style-type: none"> <li>▪ 6 Oracle</li> <li>▪ 3 MS Access</li> </ul>
Division of Animal Industry	<ul style="list-style-type: none"> <li>▪ 2 Oracle</li> <li>▪ 1 SQL Server</li> <li>▪ 4 MS Access</li> </ul>
Division of Aquaculture	<ul style="list-style-type: none"> <li>▪ 1 SQL Server</li> <li>▪ 4 MS Access</li> </ul>
Division of Consumer Services	<ul style="list-style-type: none"> <li>▪ 4 Oracle</li> <li>▪ 2 Access</li> </ul>
Division of Food Safety	<ul style="list-style-type: none"> <li>▪ 2 Oracle</li> <li>▪ 1 SQL Server</li> <li>▪ 1 Access</li> </ul>
Florida Forest Service	<ul style="list-style-type: none"> <li>▪ 1 Oracle</li> </ul>
Division of Fruit and Vegetables	<ul style="list-style-type: none"> <li>▪ 4 Oracle</li> <li>▪ 1 SQL Server</li> <li>▪ 1 Salesforce</li> </ul>
Division of Licensing	<ul style="list-style-type: none"> <li>▪ 1 Oracle</li> <li>▪ 3 SQL Server</li> </ul>
Division of Marketing and Development	<ul style="list-style-type: none"> <li>▪ 1 Oracle</li> </ul>
Division of Plant Industry	<ul style="list-style-type: none"> <li>▪ 5 Oracle</li> <li>▪ 1 Access</li> </ul>
Office of Agricultural Law Enforcement	<ul style="list-style-type: none"> <li>▪ 2 Oracle</li> <li>▪ 1 SQL Server</li> </ul>
Office of Agricultural Water Policy	<ul style="list-style-type: none"> <li>▪ 1 SQL Server</li> </ul>

**Exhibit 3: Current Data Systems Overview**



### 3.3 DATA FLOW

A Regulatory Lifecycle Management System (RLMS) covers many processes, as shown in exhibit 1: RLMS Framework. Each process has its own data inputs and outputs. The exhibit below highlights the Suppliers, Inputs, Processes, Outputs, and Customers (SIPOC) in the RLMS Framework.

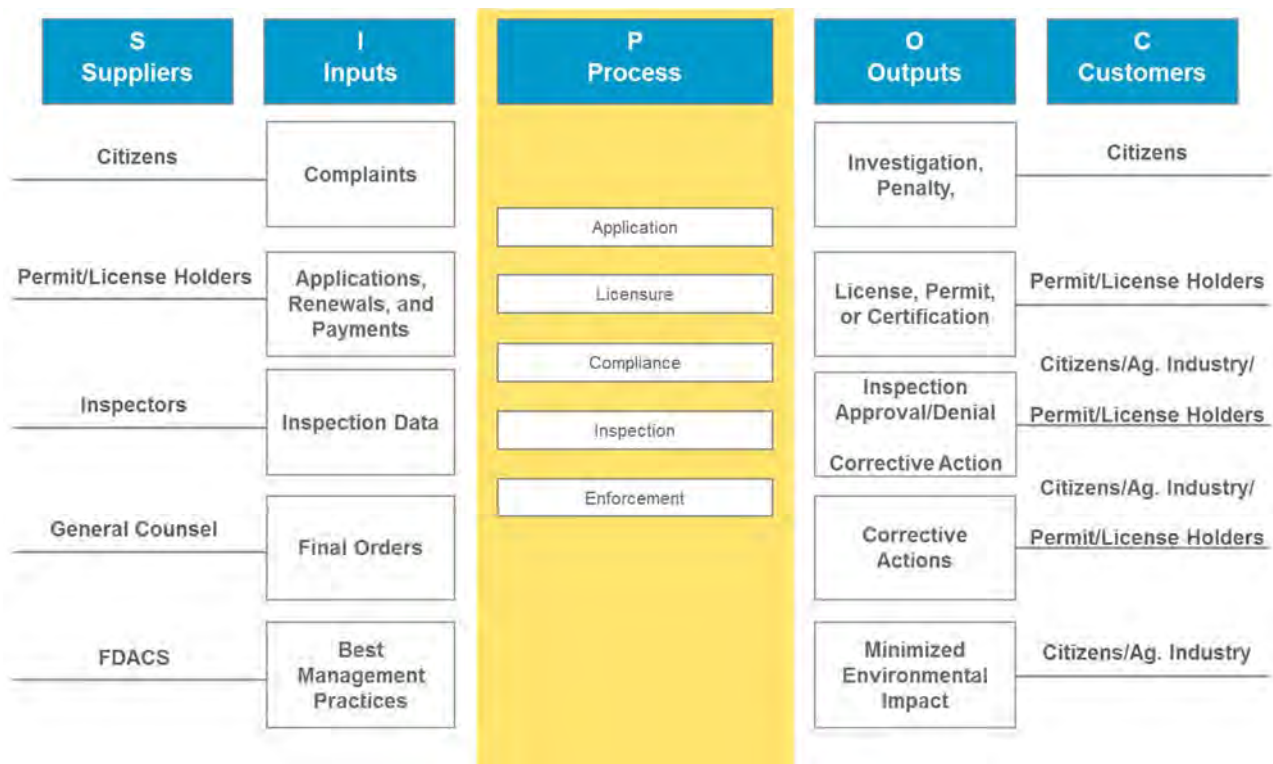


Exhibit 4: RLMS SIPOC

### 3.4 ISSUES AND CHALLENGES

As stated above, FDACS has over 60 systems supporting the regulatory and licensing function across its divisions. While many divisions have similar processes, each Division executes those processes differently. For example, many program areas include inspections, but the process of documenting inspections ranges from a handwritten process to using a mobile software solution. Having so many disparate systems and processes comes with inherent risk and issues. In the spring of 2013, the Office of Agricultural Technology Services conducted an analysis of data structures used in some of the Department’s applications and found that inspection information existed in 166 different locations, the label “address” in 158, and “name”





in 472.<sup>1</sup> The exhibit below outlines the current issues and challenges related to the regulatory processes, and the business impact.

ISSUES AND CHALLENGES	IMPLICATION <sup>2</sup>	BUSINESS IMPACT		
		INCREASED RISK	DECREASED EFFICIENCY	INCREASED COST
Disparate regulatory systems	<ul style="list-style-type: none"> <li>Higher maintenance costs</li> <li>High response time to data inquiries</li> <li>No single view of the customer</li> <li>No single view for the customer</li> <li>Higher risk to security, stability, and disaster recovery</li> </ul>	✓	✓	✓
Multiple inspector roles and visits required for large sites	<ul style="list-style-type: none"> <li>Poor customer experience</li> <li>Decreased transparency</li> <li>Inefficient use of resources</li> </ul>	✓	✓	✓
Decentralized IT budgets, resources	<ul style="list-style-type: none"> <li>Increased risk of resistance to change</li> </ul>	✓	✓	✓
Manual data entry and collection	<ul style="list-style-type: none"> <li>Inefficient use of resources</li> <li>Increased risk of errors</li> </ul>	✓	✓	✓
Lack of fully exploited technology capabilities (e.g. GIS)	<ul style="list-style-type: none"> <li>Cost is not distributed across department</li> <li>All divisions cannot take advantage of available technology</li> </ul>		✓	✓
Having multiple Department e-commerce front-ends	<ul style="list-style-type: none"> <li>Poor customer experience</li> <li>Difficult reconciliation process</li> </ul>	✓	✓	✓
Several Divisions have recently undertaken Division-level regulatory system enhancements/deployments	<ul style="list-style-type: none"> <li>Increased risk of resistance to change</li> </ul>	✓		
Past negative experience with vendors	<ul style="list-style-type: none"> <li>Increased risk of resistance to change</li> </ul>	✓		

<sup>1</sup> FDACS Executive Summary, Regulatory Systems and Programs Feasibility Study Preparation, 2014

<sup>2</sup> Versus Industry Standard



ISSUES AND CHALLENGES	IMPLICATION <sup>2</sup>	BUSINESS IMPACT		
		INCREASED RISK	DECREASED EFFICIENCY	INCREASED COST
Current system tailored to current needs and enterprise standards could be viewed as a step back	<ul style="list-style-type: none"> <li>Increased risk of resistance to change</li> <li>Resistance to process standardization</li> </ul>	✓		

**Exhibit 5: Current State Issues and Challenges**

### 3.5 OPPORTUNITIES

The exhibit below outlines the opportunities related to the regulatory processes and the potential benefits.

OPPORTUNITY	POTENTIAL BENEFIT
Enterprise RLMS System	<ul style="list-style-type: none"> <li>Reduce maintenance costs</li> <li>Provide a single interface for all Department staff</li> <li>Provide economies of scale – new features can be shared across the Department</li> <li>Provide the customer with one environment</li> </ul>
Enterprise View	<ul style="list-style-type: none"> <li>Provide better access to data for decision making</li> <li>Reduce response times for data request</li> <li>Provide a single view of the customer</li> <li>Enable more efficient use of resources</li> <li>Enable better data sharing</li> <li>Enable better transparency</li> </ul>
Document Management	<ul style="list-style-type: none"> <li>Reduce the need to store physical files</li> <li>Provide the ability to search for documents using metadata</li> </ul>
Risk-based Inspection	<ul style="list-style-type: none"> <li>Enable better use of resources</li> <li>Prioritize inspectors to the highest risk entities</li> </ul>
Enhanced Workflow	<ul style="list-style-type: none"> <li>Decreased risk of losing track of actions</li> <li>Ability to track key performance metrics</li> <li>Reduce the need for manual processes</li> </ul>
Leverage GIS Across the Department	<ul style="list-style-type: none"> <li>Take full advantage of existing GIS infrastructure</li> <li>Increase efficiency in the deployment of inspectors</li> <li>Increase efficiency for inspections</li> <li>Provide better data for decision making</li> </ul>
Emergency Response	<ul style="list-style-type: none"> <li>Provide quicker response during emergencies</li> <li>Provide more timely access to data during emergencies</li> </ul>

**Exhibit 6: Future State Opportunities**

### 3.6 INFORMATION REQUIREMENTS

During interviews, the team found several divisions and offices that are currently sharing data within the Department or would benefit from sharing data. Additionally, some divisions and offices are required to share data with external stakeholders including federal agencies,



agricultural industries, local organizations, universities, and the public. Currently, most of these information exchanges are manual processes. The matrix below shows current and desired information sharing needs for the divisions and offices North Highland interviewed.

DIVISION/OFFICE	SHARES, OR DESIRES TO SHARE, DATA WITH:	
	INTERNAL	EXTERNAL <sup>3</sup>
Division of Administration	<ul style="list-style-type: none"> <li>All FDACS Divisions and Offices</li> </ul>	<ul style="list-style-type: none"> <li>Florida Department of Financial Services</li> </ul>
Division of Agricultural Environmental Services	<ul style="list-style-type: none"> <li>Office of Agricultural Law Enforcement</li> </ul>	<ul style="list-style-type: none"> <li>Department of Revenue</li> <li>The University of Florida's Institute of Food and Agricultural Sciences (UF/IFAS)</li> </ul>
Division of Animal Industry	<ul style="list-style-type: none"> <li>Office of Agricultural Law Enforcement</li> <li>Division of Food Safety</li> <li>Division of Agricultural Environmental Services</li> <li>Division of Aquaculture</li> <li>Division of Plant Industry</li> <li>Florida Forest Service</li> </ul>	<ul style="list-style-type: none"> <li>United States Department of Agriculture (USDA)</li> <li>Department of Health</li> <li>Florida Division of Emergency Management</li> </ul>
Division of Aquaculture	<ul style="list-style-type: none"> <li>Fish and Wildlife Commission</li> <li>Office of Agricultural Law Enforcement</li> <li>Division of Animal Industry</li> <li>Division of Food Safety</li> <li>Division of Agricultural Environmental Services</li> <li>Division of Plant Industry</li> <li>Division of Marketing and Development</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
Division of Consumer Services	<ul style="list-style-type: none"> <li>All FDACS Divisions and Offices (Case Management)</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
Division of Food, Nutrition, and Wellness	<ul style="list-style-type: none"> <li>Division of Food Safety</li> </ul>	<ul style="list-style-type: none"> <li>Florida Division of Emergency Management</li> <li>USDA</li> </ul>
Division of Food Safety	<ul style="list-style-type: none"> <li>Office of Agricultural Law Enforcement</li> </ul>	<ul style="list-style-type: none"> <li>USDA</li> <li>Food and Drug Administration (FDA)</li> </ul>
Florida Forest Service	<ul style="list-style-type: none"> <li>Division of Agricultural Environmental Services</li> </ul>	<ul style="list-style-type: none"> <li>Florida Division of Emergency Management</li> </ul>
Division of Fruit and Vegetables	<ul style="list-style-type: none"> <li>Office of Agricultural Law Enforcement</li> <li>Division of Plant Industry</li> <li>Division of Food Safety</li> </ul>	<ul style="list-style-type: none"> <li>USDA</li> </ul>

<sup>3</sup> All Divisions and Offices are subject to public records request



DIVISION/OFFICE	SHARES, OR DESIRES TO SHARE, DATA WITH:	
	INTERNAL	EXTERNAL <sup>3</sup>
Division of Licensing	<ul style="list-style-type: none"> <li>Florida Department of Law Enforcement</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
Division of Marketing and Development	<ul style="list-style-type: none"> <li>Division of Plant Industry</li> <li>Division of Food Safety</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
Division of Plant Industry	<ul style="list-style-type: none"> <li>Office of Agricultural Law Enforcement</li> <li>Division of Food Safety</li> <li>Division of Agricultural Environmental Services</li> <li>Office of Agricultural Water Policy</li> </ul>	<ul style="list-style-type: none"> <li>USDA</li> <li>UF/IFAS</li> <li>Department of Citrus</li> </ul>
Office of Agricultural Law Enforcement	<ul style="list-style-type: none"> <li>All FDACS Divisions and Offices (Case Management)</li> </ul>	<ul style="list-style-type: none"> <li>Florida Department of Law Enforcement</li> <li>Department of Revenue</li> <li>Department of Transportation</li> <li>Florida Division of Emergency Management</li> </ul>
Office of Agricultural Water Policy	<ul style="list-style-type: none"> <li>Department of Environmental Protection</li> </ul>	<ul style="list-style-type: none"> <li>Water Management Districts</li> </ul>

**Exhibit 7: Agency Information Sharing**

**SECTION 4 MASTER DATA MANAGEMENT (MDM) ANALYSIS**

MDM provides a formal process for managing how common (master) data is used across the enterprise. Regulatory data is currently managed in each of the 60+ regulatory applications. As described in detail throughout this section, FDACS faces many data challenges. The current application approach to data causes inconsistent, redundant, and erroneous data, which leads to customer confusion and dissatisfaction. These data problems hamper management and customer visibility into business activities. These problems also consume valuable staff time resolving issues caused by bad data. MDM addresses these issue by greatly reducing redundant, inconsistent, and invalid data across the enterprise. MDMs enterprise level perspective is required for moving from a disconnected divisional view of the customer to an accurate and timely 360-degree view of the regulatory processes.

There are two basic MDM implementation approaches for the FDACS regulatory applications. The first involves implementation of MDM as a standalone solution which focuses on data issues. This is referred to as Option 1 in the Business Case. The second approach involves leveraging the MDM capabilities provided as part of a regulatory COTS product (Options 2&3 in the Business Case). The COTS approach will involve both data and business processes. The Implementation Plan provides detailed descriptions of the necessary COTS data and process transformation steps.



There will be a significant organization impact no matter which option MDM implementation option is chosen. They all require a fundamental shift from an application to enterprise perspective.

#### 4.1 MDM STANDALONE BENEFITS

The intent of an MDM solution is to provide access to an enterprise perspective of FDACS' data. This requires the design and implementation of an enterprise data model and corresponding enterprise data repository (warehouses/data marts). An MDM Standalone solution provides many benefits:

- Improved decision-making due to broader analysis, timely intelligence, better accuracy of data, and greater system stability
- Lower operational costs due to streamlined reporting and planning procedures, as well as elimination of manual process redundancies
- Greater understanding of the organization due to cross-dimensional analysis
- Streamlined audit and compliance
- Measurable reduction of inconsistencies and reporting errors
- Significant cost reduction from updating master data across all systems
- Risk reduction due to dedicated tools to manage financial master data instead of unstructured processes based on Excel spreadsheets, emails, and phone calls

#### 4.2 USING COTS TO DRIVE MDM AND PROCESS STANDARDIZATION

One option for implementing MDM is to leverage a COTS package as the MDM foundation. In other words, since COTS packages provide an integrated set of enterprise data models and tools, use a COTS package as the starting point for the MDM implementation.

In addition, the right COTS package extends the data standardization benefits to include business process standardization that is needed to achieve most of the strategic goals documented in this study. Process standardization will simplify MDM because it will eliminate many of the causes of bad data. Cleaning the data without fixing the underlying business processes will ultimately re-contaminate the data.

The MDM COTS implementation will address the Department's regulatory business process and data standardization issues listed below (please see the Business Case for a complete list of business benefits):

- Paper based, labor-intensive processing, and manual data entry
- Redundant and disparate permitting, licensing, compliance applications, and data
- Disjointed and sometimes inaccurate view of compliance levels



- Poor visibility into processes, statuses, and workflows across divisions and program offices
- Lack of overall timely, accurate, and efficient billing and collections
- Allow the organization to make informed decisions
- Increase permit processing efficiency
- Enable business-friendly regulatory processes with self-service available online
- Reduce submission error rates
- Support field-based staff through increased usage of mobile applications

#### 4.3 DATA ELEMENTS USED ACROSS REGULATORY SYSTEMS AND DUPLICATION OF DATA

The following sections summarize the current state of the Department's data including risks and opportunities. Tactical and strategic steps needed to realize MDM for the proposed RLMS system are then discussed. Finally, a brief overview of MDM Standalone tools is provided.

In reviewing the data elements used across the Divisions and Offices, certain key findings were identified:

- **General lack of architectural data consistency.** The data is physically stored across a variety of platforms and formats such as Oracle, SQL Server, and MS Access, MS/Excel. According to FDACS Workgroup 2013—Inspection Data Standardization Notes, the eight divisions that provided database information reported that “inspection data is housed in 28 different databases on 6 different software platforms.” This makes an enterprise perspective of data impossible without significant manual collection efforts. The proliferation of data across database, spreadsheets and word documents, also prevents automated data integrity enforcement.
- **Considerable degree of data table duplication across and within divisions.** In many cases, the same type of information is stored by each Division, but with different formats. This limits the ability to query data and implement data quality safeguards such as referential integrity.
- **Issues with data field redundancy.** The *FDACS Workgroup 2013 – Words Commonly Used in Field Names* document lists possible redundant data fields. For example, 472 fields referred to some type of “Name,” and “Address” information was stored in approximately 158 data fields. This proliferation of data elements leads to data redundancy and creates major obstacles for maintaining data consistency and integrity.
- **Use of inconsistent terminology across the organization.** The FDACS Workgroup called out the lack of consistent terminology across the enterprise. For example, inspection is referred to in 166 places using many different synonyms (i.e. audit, visit, inspect, activity, inspection, call, review, and date). This limits internal and external data transparency.



Modern Enterprise Data Warehouses and COTS applications rely on data relationships (referential integrity) to enforce data integrity at the database level. For example, “inspection” data could not be entered for a Walmart store that doesn’t exist in the related “Store” table. Referential integrity can also synchronize changes across sets of related table. For instance, if the “Store Name” changes, that change can be cascaded down to all the related tables. The Department’s use of generated primary keys is likely masking referential design flaws within tables. This inhibits the effectiveness of database enforced data integrity. Database enforced data integrity is further degraded by the disbursement of data across platforms such as MS Excel, which provide limited data integrity capabilities.

### 4.3.1 RISK AND OPPORTUNITIES TABLE

RISKS	OPPORTUNITIES
<p>The current divisional approach is leading to data and process issues and will continue to degrade Department data.</p>	<ul style="list-style-type: none"> <li>▪ The enterprise database foundation for either MDM standalone or COTS products can be used as the foundation for MDM within the Department. A COTS RLMS platform brings an inherent MDM framework. If just MDM standalone tool were used, it would provide industry data models that are used to guide the implementation of MDM on top of the Department’s current systems.</li> <li>▪ The implementation of an MDM standalone or COTS product shifts the data from a Division focus to an enterprise focus.</li> <li>▪ MDM standalone or COTS implementations are often used as a forcing function for data clean up.</li> </ul>
<p>Data inconsistencies will increase risks of migrating to an enterprise solution. For example, FDACS’s current approach of “generated primary keys” may be masking serious database design flaws which could lead to catastrophic failures during migration to a COTS package.</p>	<ul style="list-style-type: none"> <li>▪ A risk-based approach to data cleansing prioritizes cleaning efforts on data elements which have the greatest impact. Initial efforts will focus on primary and foreign keys, then shift to essential data elements and gaps (for additional details, please see Near Term Data Preparation Steps).</li> <li>▪ The new MDM or COTS data enterprise solution will have referential and other constraints. Once the data is migrated to this environment, the database will help enforce basic data quality.</li> <li>▪ Mapping of source to target data will drive analysis and resolution of data redundancy and inconsistency.</li> </ul>
<p>The Department may not complete all cleansing of data prior to initial kick-off of the RLMS project</p>	<ul style="list-style-type: none"> <li>▪ The Near Term Data Preparation Steps (found below), describes high priority steps that can be taken before the award and start of the action project. This enables FDACS to minimize data risks during the actual migration and reduce System Integrator costs. This initial process could be done using existing software and resources.</li> <li>▪ An incremental approach to implementation provides necessary focus and manageable migration phases.</li> </ul>

### Exhibit 8: Current Data Risks and Opportunities



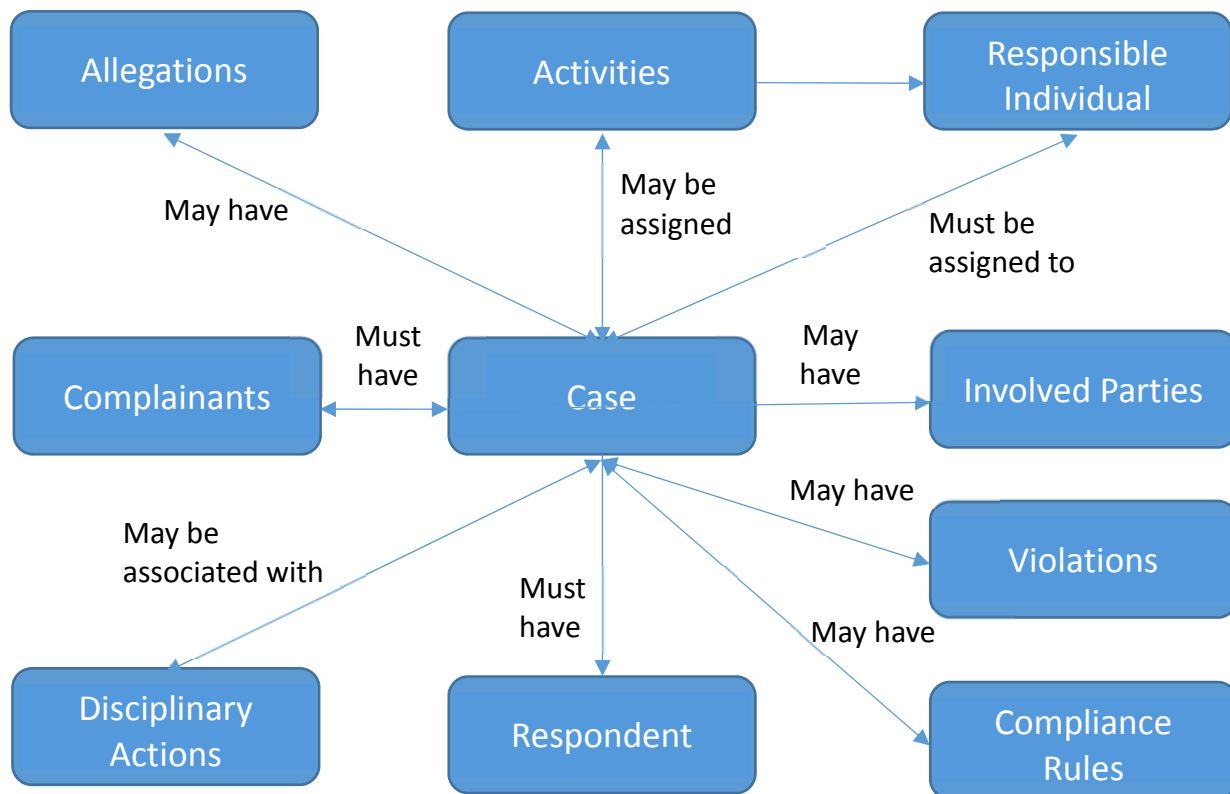
#### 4.4 MDM FUTURE STATE RECOMMENDATIONS AND CONSIDERATIONS

This section provides perspectives on the various tactical steps that can be taken to prepare for the RLMS project. This section also details a longer term roadmap to successfully implement MDM within the Department.

##### 4.4.1 NEAR TERM DATA PREPARATION STEPS

The following steps can be taken immediately to help prepare for an enterprise data solution.

1. Establish an MDM governance team with governance and decision making authority and procedures.
2. Reach out to agencies in other States that have deployed regulatory enterprise systems for information on their essential data types and migration lessons learned.
3. An underlying enterprise data model will be provided by the MDM standalone or COTS vendor. These models will be used to drive data cleanup and migration. Since the final vendor model will not be identified before vendor selection, an initial (essential) data model can be created based on essential data elements from similar State regulatory implementations. This will enable FDACS to begin working on data cleanup before receiving the vendor models. The following figure illustrates an example of an Essential model for Enforcement (one of the major business areas). It shows the primary tables and the types of relationships between them.







### Exhibit 9: Sample Entity Relationship Model of Essential Enforcement Data

4. Perform “Risk Based” mapping from “As Is” environments into essential “To Be” data elements based on the essential data models (e.g. See exhibit 8). Focus on populating Primary and Foreign Key data.
5. Establish mock migration environments and create essential tables.
6. Perform mock loads and perform analysis and remediation of issues. Look for failure patterns that can be corrected by programs and those which need to be corrected by hand.
  - a. Mock loads will focus on getting a few sample rows into a consistent format that will successfully load into the database. The goal is to get a better understanding of essential data sources and the transformations that will be required, not to get bogged down in data cleansing of every single data element. Microsoft Excel can be used to gather and do basic data reformatting. To simplify the process, referential integrity should be turned off until the reformatted data is loading correctly.
  - b. The second step involves turning referential integrity on for a set of related tables, loading those tables, and letting the database kick out errors. Please note, the load sequence for this set of tables is based on referential constraints (i.e. parent tables will need to be loaded before tables that reference them).
  - c. The third activity involves extending the analysis to include essential, non-key data. This could be done using Microsoft Excel and simple SQL database queries. For instance, if two data sources are believed to store the same data one would expect to find similar levels of cardinality. Freeware tools are also available to assist with this analysis, i.e., Toad for SQL Server Freeware.

#### 4.4.2 LONG TERM MDM STRATEGY

MDM does not end when the RLMS project starts. This section outlines a long range approach to implementing MDM within the context of an enterprise regulatory solution. This strategy includes the following:

- Initial list of data elements that will ultimately be managed as part of this effort
- Business requirements
- Master data tools and architectural recommendations
- Requirements traceability
- Data governance recommendation
- Data cleansing and migration recommendation
- Roadmap of projects to implement MDM and data governance

Data quality activities are embedded throughout the methodology and represent the progression of gaining an understanding of the source data, evaluating how the source data meets the target data requirements, determining the cleansing necessary for the source data, and harmonizing and combining the data to aggregate information to make up a complete



domain. Gathering functional business requirements and existing constraints is a critical step in defining any MDM solution. These initial business requirements are described as part of the IV-B. These requirements form the baseline for an ongoing process of evaluating transactional and master data systems, data maintenance, and data integration approaches.

The effort to collect business requirements for the RLMS Enterprise Master Data Strategy must focus on the following areas:

MASTER DATA	ANALYSIS BY DIVISION/OFFICE APPLICATION AREA
Current landscape	Identifying the source systems for master data (e.g. customers, violations, certifications, etc.) in the as-is landscape.
Data Quality	Gathering the perceived data quality issues in master data and business imperatives for data cleansing needs.
Data Governance	Understanding data governance practices across divisions for effective alignment and transition.
MDM Readiness	Assessing enterprise readiness for master data scenarios by essential data entities and available options for addressing the current issues.
Security & Compliance	Determining the security and compliance requirements for master data.
Business Pain-Points	Understanding the business pain-points in essential data maintenance and usage in the organization and priorities for addressing such issues.

### Exhibit 10: RLMS MDM Focus Areas

#### 4.4.2.1.1 HIGH LEVEL ROADMAP

The following criteria need to be established to evaluate the MDM Roadmap options for the RLMS.

- Organizational Readiness
  - › Determine the current state of the master data entities.
  - › Confirm master data entities are ready for MDM consolidation/rollout.
- Alignment with Deployment Schedule
  - › Align data readiness schedule with the application deployment schedule.
  - › Identify the major master data problem areas in the RLMS and prioritize and resolve those problems according to the impact of the problem area.
- Implementation Risk
  - › Coordinate with divisional master data projects to remove parallelism.
  - › Account for the additional effort required by the remaining parallel efforts.
  - › Account for the effort required by retro-fit work.



#### 4.4.2.1.2 IDENTIFICATION OF DATA SETS AND DATA SOURCES

The first step in this process is reaching general agreement on the general definitions of expected data requirements for each functional area (i.e. Application, Licensure, Compliance, Inspection, and Enforcement). The MDM governance team will work with the Divisional Project Teams to identify the essential data sets that will be used to build the master data from the various systems and data repositories. This will be accomplished via facilitated sessions to determine target data sets as candidates to support the business processes, followed by data discovery activities to locate and assess the target data. This discovery phase could include identification of data sets that need to be created for divisions that may have data gaps.

FDACS Workgroup studies have documented the fact that critical data is housed in a number of repositories. FDACS will need to leverage these workgroups to identify and evaluate the data sets to produce the most reliable and valid data. Initial studies have identified over 1,126 tables. This work will need to be continued to inventory non-table sources including Excel spreadsheets.

There are a number of approaches that can be applied to identify valid data sets, affirm their quality, and identify clean-up initiatives to be addressed as a part of the Implementation Plan and Cost Analysis:

- **Data Discovery Profiling** – Data discovery profiling identifies which data sources may contain needed information. For example, if “Date of Service” is a critical aspect of determining outcomes, profiling may be used to “find” this date field within a specific data set or across data sets.
- **Data Quality Profiling** – Data quality assessment profiling determines the quality of the source data feeding downstream processes. Profiling provides statistical information regarding the distribution of data values and associated patterns assigned to each data attribute, and it can include identification of the range of values in a particular field, assessment of format and patterns, the relationship of a target element to others in the data set, and identification of missing values.

#### 4.4.2.1.3 DATA QUALITY DIMENSIONS

Data quality dimensions are aspects or features of quality. They provide an approach for FDACS to measure and manage the quality of data and information. In managing and accessing data quality, key dimensions are used to evaluate data integrity and to obtain a complete understanding of the data’s health. The following dimensions will be used by FDACS to evaluate enterprise data quality of each data source that will be used in the new enterprise application:

- Validity
- Accuracy
- Timeliness and Availability
- Completeness



- Specifications
- Uniqueness
- Perception
- Consistency and Synchronization

**Validity** - This dimension measures the existence, structure, content, and other basic characteristics of data. It includes essential measures such as completeness, lists of values and frequency distributions, patterns, ranges, maximum and minimum values, and referential integrity. The measurement of this dimension is based on the metadata available for the data in question allowing us to determine valid values and other specifications to which the data must adhere. Profiling tools are often used to assist in the measurement of this dimension.

**Accuracy** - Data accuracy requires comparing the data to what they represent (the authoritative source of reference). Conducting this assessment is usually a manual process and will be carefully planned to identify the method to access the authoritative source of reference. Accuracy assessments, like most other areas, begins small samples and expands based on issues identified.

Examples of measuring accuracy can be:

- Comparing values of an element against the official system of record
- Comparing against external sources

**Timeliness and Availability** - This dimension refers to the degree to which data is current and available for use as specified and in the period in which they are expected.

Data values change over time, and there will always be a gap between when the real world object changes and when the data it represents are updated in a database and made available for use. The phrase “use as specified” in the definition of this dimension refers to having the data available when the business requires them. In many cases, this timing is captured by service level agreements specific to domains, systems, warehouses, and marts across and within them. Documenting the timeliness of data capture will allow the users of the data to know understand how current the data is.

**Completeness** - Completeness is concerned with how comprehensive the regulatory data is. For instance, does it contain essential data for all of the participating divisions? For example, some divisions may have a high percentage of customers that do not have a valid phone number. This, most likely, is the result of a failure in the process of capturing the information as opposed to a large number of customers not having access to a phone.

**Specifications** - This dimension assesses the amount and quality of metadata and data standards available in a particular data set. This dimension is focused on the existence of business and technical metadata with its location and quality. Metadata provides the context for interpreting the results of data quality assessments.



**Uniqueness** - Uniqueness refers to an unduplicated record. Tools are available to help reveal whether there are duplicate records or fields within or across databases. These tools are usually referred to as data cleansing tools and are often included in the with MDM or COTS packages.

**Perception** - Perception, relevance, and trust are measures of the perception of and confidence in the quality of the data and the importance, value, and relevance of the data to the business needs. Stakeholder Assessments and Go-live Readiness Reviews are used to evaluate data perceptions and identify required mitigation actions.

**Consistence, Equivalence, and Synchronization** - Consistency refers to the fact that any data that is stored and used in various places should match each other. Equivalence is the degree to which data stored in multiple places is conceptually equal. It indicates the data have equal values and meanings. Synchronization is “the process of making the data equivalent”. This type of assessment looks at equivalent information as it is created, updated and deleted in various data stores and applications.

#### **4.4.2.1.4 IDENTIFICATION OF DATA GAP**

The analysis will include an assessment of the availability of essential data by conducting a gap analysis of the data sets needed to support RLMS capabilities. Identification of these gaps will require the team to assess priorities around the identified measures. If it is determined that the RLMS will not be successful unless the gaps are addressed, the implementation plan and cost analysis within the program plan will include initiatives to address the gaps, along with activities, costs, and justifications to support the recommended initiatives.

#### **4.4.2.1.5 ANALYZING HISTORICAL, TRANSACTIONAL, AND AGGREGATED DATA**

Data analysis will be used to define how historical and transactional data will be handled during an enterprise data warehouse or COTS implementation. Data formats tend to change over time. This adds a level of complexity to the migration effort. Some organizations make a decision to limit the amount of historical and transactional data they migrate into the new system. This may reduce the migration effort, but there are trade-offs that must be considered (e.g. the need to run parallel systems). Legal data retention requirements must be considered.

Poor data aggregation can inhibit performance of queries for programs, stakeholders and constituents. Implementation of effective aggregation strategies and solutions is essential to program success due to the potential for large volumes of data to be analyzed and reported on an on-going basis.

#### **4.4.2.1.6 MASTER DATA MANAGEMENT GOVERNANCE FRAMEWORK**

The following section describes a recommended framework for MDM Governance needed to guide the evolution of data governance across RLMS applications.



At its core, MDM governance covers areas such as: Roles and Organizations, Data Strategy, Policies and Standards, Compliance, and Communication. An FDACS MDM organization performs activities such as: Data Architecture and Design, Database Management, Data Security Management, Data Quality Management, Reference and Master Data Management, Data Warehousing and Business Intelligence Management, and Meta Data Management.

Governance promotes adoption through socialization of business benefits and best practices. A data governance process also identifies user skills gaps and create development roadmaps to drive the use and understanding of metrics and core data.

The list below includes governance areas and general responsibilities:

- Data Governance
  - › Designs and implements a data governance organization
  - › Defines policies and procedures
  - › Facilitates organizational buy-in
  - › Enables data integrity
  - › Facilitates data quality and standardization
  - › Design, develop, and implement data quality, conversion, and integration strategies
- Program Management
  - › Implementation methodology
  - › Project team organization and skill mapping
  - › Risk mitigation strategies
  - › Scope management
  - › Issue management
  - › Project reporting and tracking
  - › Delivery excellence management
- Master Data Quality
  - › Definition of common enterprise-wide metrics, entities, attributes, and their interrelationships
  - › Definitions of records of authority for each data object and data element
  - › Design of enterprise-wide data architecture with flexibility and auditability
- Organizational Change Management
  - › Impact of new technology on people and productivity
  - › Change readiness assessment and strategy
  - › Training requirements and development



- › Stakeholder communication and management
- › Identifying and mentoring change champions
- Technology
  - › Selection of enabling technology for data repository, business process management, data integrity, and governance monitoring

It is vital that the data governance organization agree to and publish best practices, policies and procedures early in the process so that in process projects can benefit from the work that has already been completed. This includes being able to leverage data standards, data definitions, and data processes.

## 4.5 IDENTIFY CANDIDATE MDM TOOLS FOR CONSIDERATION

### 4.5.1 COTS PROVIDED MDM

As mentioned above, COTS RLMS packages typically include an enterprise data environment as part of their solution. All of the COTS RLMS vendors interviewed for this study provide varying degrees of MDM support as part of their tool kit. North Highland recommends that each vendor's MDM capability be demonstrated as part of the acquisition process. Factors to consider for demonstration include:

- Ready-to-use governance applications – Create and maintain master data centrally with process-centric applications for consistent definition, authorization and replication of master data domains.
- Verifiable audit trail – Maintain a verifiable audit trail of when, why, and by whom master data is changed, increasing visibility and accountability.
- Prebuilt and flexible workflows – Leverage and enhance prebuilt workflow processes to enrich and validate data.
- Predefined and extensible data model – MDM and COTS products both provide predefined and extensible data models. The MDM enterprise data models tend to be more generic. The COTS data model will be specific to the application. Either provide a foundation which can be extended to support other areas.
- Data validation – Apply, reuse, and integrate existing business logic and infrastructure to validate data through native integration with MDM/COTS Business Suite. Data validation rules are applied to the database and application. Validation rules are also applied as part of Extract, Transform, and Load (ETL).
- Data replication – Distribute changes to consuming applications ad hoc, by schedule, or workflow triggered using enterprise services to reduce manual work, leveraging extended monitoring and error-handling capabilities.



### 4.5.2 EXTERNAL MDM TOOLS

There are several MDM tools available to help build and maintain MDM environments. The diagram below shows a chart from Gartner Inc. (an information technology research and advisory company). This chart provides a visual ranking of the various MDM tools based on their ability to execute and completeness of vision.



**Exhibit 11: Gartner Magic Quadrant for Master Data Management of Customer Data Solutions**

<sup>4</sup> Source Gartner Magic Quadrant for Master Data Management of Customer Data Solutions, 17 October 2013, ID: G00251784





The following table summarizes information on the MDM software tools listed in the Leaders Quadrant Exhibit 10: Gartner Magic Quadrant for Master Data Management of Customer Data Solutions

VENDOR	PRODUCT	STRENGTHS	CAUTIONS
IBM	InfoSphere MDM Advance Edition	<ul style="list-style-type: none"> <li>Broad information management strategy</li> <li>Product strategy and vision</li> <li>Robust data model and services.</li> </ul>	<ul style="list-style-type: none"> <li>Momentum slowing</li> <li>Perceived as complex</li> <li>Low scores on total cost of ownership, workflow and reporting</li> </ul>
IBM	InfoSphere MDM Standard Edition	<ul style="list-style-type: none"> <li>Broad Information Management strategy and platform</li> <li>Unique offering with large roster of satisfied clients</li> <li>Strong performance and industry focus</li> </ul>	<ul style="list-style-type: none"> <li>Momentum slowing, limited implementation</li> <li>Below average scores for industry understanding and new feature responsiveness.</li> </ul>
Informatica	Informatica MDM	<ul style="list-style-type: none"> <li>Highly rated data quality and data integration tools</li> <li>Data model flexibility</li> <li>Broad information management capabilities.</li> </ul>	<ul style="list-style-type: none"> <li>Universal MDM Portfolio Strategy still emerging</li> <li>Lack of packaged governance technology for MDM</li> </ul>
Oracle	Siebel Universal Customer Master (UCM)	<ul style="list-style-type: none"> <li>Strong MDM portfolio</li> <li>Customers awarded high scores for road map and multiple styles of MDM</li> </ul>	<ul style="list-style-type: none"> <li>Unclear Oracle MDM product direction</li> <li>Not designed for multi-domain support</li> <li>Requires high-level vendor support.</li> </ul>
Tibco Software	Tibco MDM	<ul style="list-style-type: none"> <li>Strong momentum</li> <li>Increasing presence</li> <li>Strong product strategy</li> </ul>	<ul style="list-style-type: none"> <li>Emphasis on IT</li> <li>Failure to make customers aware of upgraded capabilities</li> <li>Challenges supporting growing market</li> </ul>

**Exhibit 12: Gartner Leaders Table for Master Data Management of Customer Data Solutions**

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**DATA ASSESSMENT**

*July 14, 2017*

Date: 07/14/2017  
Version: 200



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
11/03/2015	North Highland	001	Initial Draft
03/07/2016	North Highland	002	Second Draft
3/14/2016	FDACS	002	FDACS Review
3/15/2016	North Highland	003	Final
3/23/2016	North Highland	100	Baseline
07/14/2017	Charles Coldwell	200	Rebranding, minor edits, and updated DDI Vendor Timeline from the executed SOW

### Quality Review

NAME	ROLE	DATE



## SECTION 1 OVERVIEW

This document provides an assessment of FDACS's readiness to adopt an enterprise data solution (Enterprise Solution) for their Regulatory Lifecycle Management System (RLMS) and the corresponding recommendations for successful implementation of the Enterprise Solution effort. The new enterprise system will be called the Agriculture and Consumer Services System (AgCSS). The two assessment sections of this document cover the **assessment of the AgCSS enterprise data** (Data Assessment) and the **assessment of enterprise procedures** (Enterprise Process Assessment) required to transition and sustain the enterprise data. Findings are based on information from FDACS surveys, profiling of AgCSS related data, FDACS documentation, and industry standards.

The Data Assessment section will describe the current state of data within the context of an enterprise solution migration. It will describe the initial profiling steps performed by North Highland as well as actionable data cleansing steps for FDACS's AgCSS data. Detailed information on the data cleansing and migration steps may also be found in the Appendix [N\\_Data Conversion Migration Plan](#).

Transitioning to an Enterprise Solution will require more than just a set of data migration tools. An enterprise data transition requires enterprise processes and people to enable this change. The Enterprise Process Assessment section will describe the processes and people required to address the immediate transition needs and to position FDACS for successful enterprise data management. The Appendix [U\\_Workforce Training and Transition Plan](#) deliverable document provides details on the necessary types of organizational changes. This document will focus on the transition from a data processes perspective. Included in the Enterprise Process Assessment is the Overarching Enterprise Processes section which describes the four foundational pillars of Enterprise Data solutions:

- Data Governance
- Solution Management
- Change Management
- Organizational Alignment

The Enterprise Process Assessment also covers specific management areas required to support an enterprise data system including:

- Master Data Management
- Data Quality
- Metadata Management
- Analytics
- Dashboard, Scorecards, and Reporting
- Security and Privacy
- Data Integration
- Data Strategy and Architecture



The Recommendations section will describe the recommended approach for implementing cleansing and enterprise data management that will maximize effectiveness and efficiency while minimizing bureaucracy.

## 1.1 BACKGROUND

FDACS has evaluated the utilization of an AgCSS to standardize regulation and licensing across all of the department's divisions and offices that directly manage regulatory programs. The regulatory application portfolio currently contains more than 60 applications, making standardization problematic. An implementation strategy has been developed to achieve the goals of enterprise regulatory management while minimizing risks and costs.

The initial AgCSS Project (Project) implementation (Release 1) will involve two divisions where the AgCSS will yield the greatest benefits. In Release 1, the Division of Licensing (DoL) implementation will subsume the Concealed Weapons Intake System, Licensing Reflections System, Imaging Business and Process Management, Concealed Weapons Renewal Express (CWREX), and Web-based Fast Track System into a Commercial Off-the-shelf (COTS) based application. Also in Release 1 implementation for the Division of Administration (DoA) will supplement the Agency Clerk, Revenue Online Collection, EGov, and Enterprise E – Commerce System applications, as well as additional components of the Revenue Receipt Accounting System (REV). Division of Licensing Call Center support will also be modernized as part of the implementation.

At the start of the Application Data Assessment, an electronic survey was distributed across the FDACS divisions and offices. This survey was used to evaluate the maturity of existing enterprise procedures. The results of this survey will be reflected in the Process section of this document and the survey results. Meetings with the data leads from the various divisions and offices were also conducted to gather additional insights into the types of data issues they are encountering. In addition, data profiling was performed to evaluate the general health of the enterprise data, to provide insights into required data preparation steps, and to identify potential outliers which might impact the sequencing of possible future iterations. This profiling was performed using the Informatica toolset to assess AgCSS data from across the enterprise. The data profiling procedures and results are covered in the Data Assessment section of this document. Additional profiling information can be found in the AgCSS Conversion and Migration Plan.

## 1.2 KEY OBJECTIVES AND BENEFITS

As mentioned above, AgCSS capabilities are currently performed by over 60 applications which are managed by the individual divisions and offices. From a data perspective, this involves over 8,000 tables and 100,000 columns. All of this has led to significant data quality issues for FDACS and its customers.<sup>1</sup> For example, there are over 472 fields to store a Customer Name, making it nearly impossible to synchronize contact information across all of those fields.<sup>2</sup> Therefore, FDACS has made the important decision to address these issues by

<sup>1</sup> Notes -- Inspection Standardization Workgroup

<sup>2</sup> Count\_the\_Uses.PDF



moving to an Enterprise Solution with an integrated, enterprise data architecture. Additionally, FDACS understands the potential data challenges they may encounter in implementing an Enterprise Solution. This document will identify these potential challenges and provide a framework for addressing them.

This document is meant to enable the transition to an integrated AgCSS enterprise solution. Data quality issues such as data consistency and validity will be major factors of the data migration. From a broader perspective, the data quality findings and recommendations in this document are applicable to the entire application and data portfolio, even if the data is never migrated.

While the initial Project targets AgCSS implementations in the Administration and Licensing areas, it is also intended to lay the enterprise foundation for all AgCSS licensing and regulatory functions. For this reason, data profiling activities were carried out across the enterprise. It is expected that the results of the enterprise profiling will help all of the divisions and offices prepare for enterprise data even before the enterprise system is implemented for their department.

A Data Governance Plan is beyond the scope of this document; however, many of the procedures described in this document could be used to create a Data Governance Plan. For reference, please follow the link to the [Sample Data Governance Plan](#).

## SECTION 2 ASSUMPTIONS

The content within the following pages is based upon assumptions made during the course of analyzing the data and processes:

- The divisions and offices are willing to contribute business and technical resources to data cleanup and standardization efforts in their respective areas as well as in support of enterprise-wide efforts.
- The Office of Agriculture Technology Services (OATS) will provide significant technical resources to support divisions and offices data quality efforts.
- The Project and Portfolio Management Office (PPMO) will share management responsibilities and executive sponsorship.
- The Department will develop a Data Governance Plan.

## SECTION 3 DATA ASSESSMENT

This portion of the assessment focused on the readiness of the data for incorporation into an Enterprise Solution. Data readiness is a critical factor for a successful migration. Issues such as bad data relationships can cause load failures during migration. These types of problems can be time consuming to understand and resolve. These data issues also require considerable direction and input from limited business and technical resources. It is therefore best to begin to assess and cleanse the data well before the start of the Enterprise Solution project. If project management waits until after the start of the project, the necessary business and technical resources may have very limited bandwidth, and there may not be enough time





to identify and fix all of the issues. While it is unreasonable to expect that FDACS will be able to clean all of their data before the Enterprise Solution project begins, the Informatica profiles and scorecards should provide visibility into data issues and tools to help resolve them. Details on what these profiles look like and how they are used can be found in the Appendix N\_Data Conversion Migration Plan.

### 3.1 ENTERPRISE PROFILE

The enterprise profiling was done to get an overall sense of AgCSS data issues across FDACS. The primary purpose was to give divisions and offices early insights into the current data quality issues which could impact migration. From an enterprise scheduling standpoint, FDACS wanted to determine if certain divisions and offices had significantly higher levels of data preparation effort. This would give FDACS an opportunity to possibly move those divisions and offices to a later release in order to provide more time for data cleansing.

Regardless of the pending migrations, the enterprise profiling information provides FDACS with a starting point for data quality efforts and can be used to support the transition to the future enterprise data solution.

### 3.2 RELEASE SCORECARDS

An additional level of detailed analysis was performed on the Licensing and Administration data. Scorecard baselines were taken of the data. These baselines will be used to track the progress of data cleansing in each of these areas. An example of the application and benefits of using scorecards are provided in section **3.3.1.3 Column Profiling**.

### 3.3 IDENTIFYING AND MEASURING DATA QUALITY ISSUES

There are many different perspectives to analyze FDACS data in preparation for migration. The following subsections will describe how various types of data profiling can be used by FDACS to prepare for the Enterprise Solution.

#### 3.3.1 DATA PROFILING

##### 3.3.1.1 ENTERPRISE PROFILING

The Enterprise Profiling process classifies data columns into domain categories. Profiling tools use these domains to associate common characteristics (metadata) for each domain. This metadata includes information such as column formats and validation rules.

Data domains provide a way to define how certain types of data should be handled. In the initial FDACS Enterprise Profiling, default data domains from Informatica were used to classify the data columns. These default domains grouped data columns based on common name tokens and formats. For example, columns which contain “SSN” in their name have values such as “xxx/xx/xxx”, “xxx-xx-xxxx”, or “xxxxxxx” might be assigned to the Social Security data domain. The benefit of using these default domains is that they can be used to quickly



categorize the data. These default domains also provide a standard set of metadata. In our social security example, this might include validation algorithms and a flag to indicate this is Personal Identifying Information (PII) data.

The following exhibit provides an example of an Enterprise Profile.

**EP\_DOA\_SUNTRACK**

ep\_DOA\_SUNTRACK

Summary

Name	Found in Columns
Country	12
Geocode_Latitude	6
Geocode_Longitude	15
USZip_Sdigit	117
CompanyName	34
CountryCode_Phone	27
Email	15
FirstName	52
Gender	4

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**Exhibit 1: Enterprise Profile**

### 3.3.1.2 DATA DOMAIN DISCOVERY

Manually assigning over 100,000 columns to the correct domain would be time consuming and error prone. North Highland used profiling tools to automatically assign columns to default domains, allowing sufficient accuracy and detail to complete this data assessment. These initial assignments and domains should be refined during the data cleansing process. Some columns will need to be assigned to a domain which more accurately reflects their characteristics. In other cases, FDACS will need to create new domains to reflect special categories related to licensing and regulation. The following is an example of how to approach this activity:



1. Focus on setting up the domains for the most critical primary and foreign keys
2. Focus on the most common data elements: ADDRESS, CITY, CONTACT, COUNTY, DISTRICT, INSPECTION SYNONYMS(AUDIT, VISIT, INSPECT, ACTIVITY, INSPECTION, CALL, REVIEW), DATE, LOCATION, NAME, OWNER, REGION)

The exhibit below shows data domain elements within an address table.

**Prof\_DOA\_SUNTRACT\_ADDRESS**

prof\_DOA\_SUNTRACK\_ADDRESSES

Column Profiling | Data Domain Discovery | Data Preview | Properties

prof\_DOA\_SUNTRACK\_ADDRESSES - Column Profiling

Name	Unique Value	% Unique	NULL	% Null	Datatype	% Inferred	Documented Datatype	Minimum Value	Maximum Value
Source Name									
EID	454238	100.00	-	-	Integer(8)	100.00	number(15)	98368.00	56
OWNER_EID	265232	58.39	-	-	Integer(8)	100.00	number(15)	1.00	56
OWNER_TABLE	2	.01	-	-	String(9)	100.00	varchar2(30)	COMPA...	PI
GROUP_CODE	7	.01	-	-	String(8)	100.00	varchar2(8)	DBA_WG	RL
ADDRESS_TYPE_CODE	3	.01	-	-	String(8)	100.00	varchar2(15)	BUSINESS	
START_DATE	9416	2.07	-	-	Date Time	100.00	date(19)	02/28/19...	12
STOP_DATE	7304	1.60	384352	84.61	Date Time	100.00	date(19)	03/10/19...	12
ADDRESS_1	306375	67.44	207	.04	String(77)	100.00	varchar2(80)	nu	
ADDRESS_2	33582	7.39	392366	68.37	String(40)	100.00	varchar2(80)	po	
ADDRESS_3	1250	.27	452211	99.55	String(38)	100.00	varchar2(40)	PO BOX...	

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**Exhibit 2: DOA SUNTRACK ADDRESSES TABLE**

**3.3.1.3 COLUMN PROFILING**



Column Profiling was done on the FDACS data tables to analyze the various characteristics of the columns. The example in the exhibit below shows a series of “state” related columns. A low “%Data Conform” value could indicate potential issues such as a column which may have been assigned to the wrong domain type or issues with non-compliant (bad) data. Additional columns are used to quantify the extent of the issues.



## EP\_DOA\_SUNTRACK

CompanyName (34 columns)

Profile -	Column Name	%Data Conform	Connection Na	Source Name	Inference Statu	%Nu	Total Row	Conforming Row
Profile_ADDRESSES	STATE_CODE	99.6	DOA_SUNT...	ADDRESSES	Inferred	0	1000	996
Profile_ADDRESSES_X	STATE_CODE	99.8	DOA_SUNT...	ADDRESSE...	Inferred	0	1000	998
Profile_ALLOCATIONS	FEE_TYPE	71.0	DOA_SUNT...	ALLOCATIONS	Inferred	0	1000	710
Profile_CEU_CLASS_LOCATIONS	CLASS_STATE	80.1	DOA_SUNT...	CEU_CLASS...	Inferred	6.8	1000	801
Profile_CEU_CLASSES	CLASS_STATE	95.2	DOA_SUNT...	CEU_CLASS...	Inferred	0	1000	952
Profile_CEU_PROVIDERS	BUSINESS_STATE	87.5	DOA_SUNT...	CEU_PROVI...	Inferred	0.5	1000	875
Profile_CEU_USR	BUSINESS_STATE	85.4	DOA_SUNT...	CEU_USR	Inferred	1.1	1000	854

### Exhibit 3: DOA SUNTRACK ADDRESSES Address\_1 Statistics

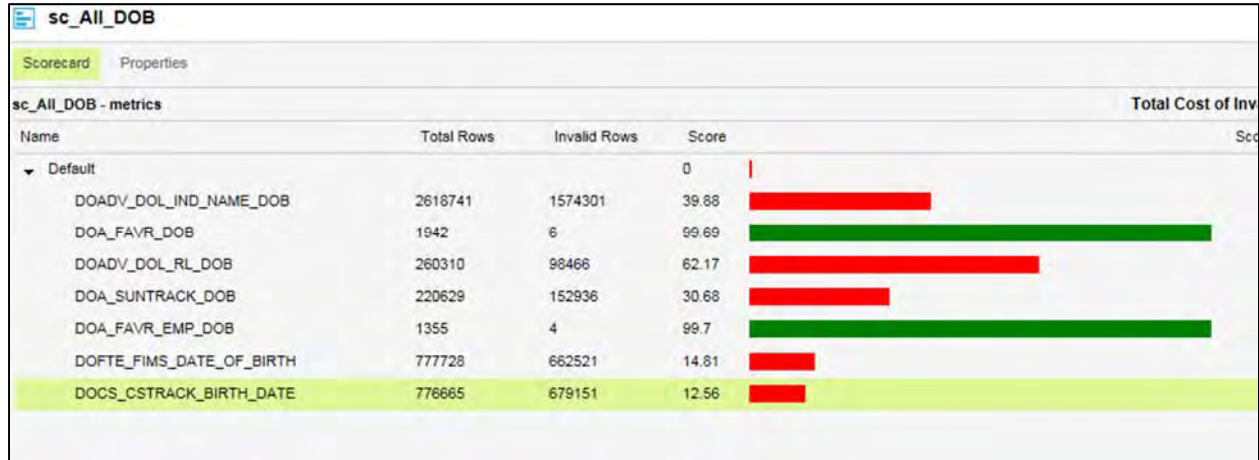
Scorecards are used to visually assess how well the columns are adhering to validation rules. The exhibit below shows data fields related to Date of Birth (DOB). The validation scores are indicated numerically and graphically. The color of the bars is based on configurable scoring thresholds.

These scorecards can be used to monitor the quality or health of data across the enterprise. One of the recommended best practices is to run baseline score cards at the beginning of data cleansing, so that progress can be tracked over time. Several scorecard benchmarks have already been established during this initial assessment. It is recommended that additional scorecards be established to support the data cleansing effort. The following is an example of how to approach this activity:

1. Focus on setting up the scorecards for the most critical primary and foreign keys, because they will pose the greatest risk to data migration.
2. Focus on the top five business data problems.
3. Focus on the most common data elements.



**Note:** Setting up these scorecards is going to be dependent on making sure the domains have the necessary data columns and validation rules.



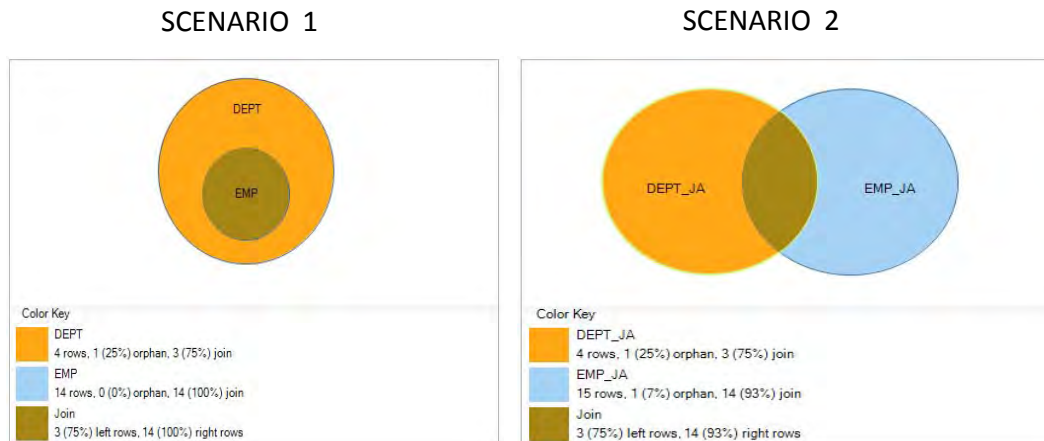
**Exhibit 4: sc-All-DOB Scorecard**

**3.3.1.4 PRIMARY AND FOREIGN KEYS**

Primary and foreign keys can be a major issue when migrating to an Enterprise Solution. If the primary and foreign keys do not match up, the data will not be able to load. Enterprise data that is being extracted from several application sources may lack some of the required relationships (referential integrity). Enterprise Solutions tend to rely heavily on referential integrity, so it is important that these issues be identified and resolved as early as possible. Join Analysis can be performed to identify potential issues with referential integrity. Join profiling is a form of cross table analysis that is used to determine data overlap between two data sources. It is used primarily to test the referential integrity between two data sources. Join profiling can be used to test a single column or multiple columns across the data sources. Some common examples of where join profiling would be applicable are the validation of foreign keys or the validation of values against reference data. The diagram below provides an example of Join Analysis and looks at the degree of matching between primary and foreign keys.



# Join Analysis - Sample



## Exhibit 5: Join Analysis

Primary Key and Foreign Key Profiling is recommended to identify potential issues such as an employee being assigned to a department which is not defined (shown in scenario 2 above as the light blue section in the exhibit).

### 3.3.2 CLEANSING

Data cleansing is not a “one-and-done” process. It is an ongoing effort that requires considerable time and resources. The approach is similar to other data activities described thus far. The following is an example of how FDACS should start the AgCSS data effort:

1. Focus on cleaning the most critical primary and foreign keys, because they will pose the greatest risk to migration efforts.
2. Focus on the top five business data problems.
3. Focus on the most common data elements.

Data cleansing involves many potential tools, people, and procedures. Data profiling tools are used to identify and focus cleaning efforts. In some cases, problems occur in patterns. When this happens, there may be an opportunity to define an ETL (Extract, Transform, and Load) transformation rule or a data cleansing script. This is a best case scenario because automation tends to be much more efficient as it minimizes human error and is easier to “back-out” if a mistake is made. In other cases, there will be random errors which do not fall into easily recognized patterns. These will likely require manual correction, but even manual activities can benefit from an automated workflow which coordinates change and provides an audit trail of





those changes. The exhibit below provides an example of a table with data fields evaluated for data cleansing.

## EP\_DOA\_SUNTRACK

CompanyName (34 columns)

Profile -	Column Name	%Data Conform	Connection Na	Source Name	Inference Statu	%Nu	Total Row	Conforming Row
Profile_ADDRESSES	STATE_CODE	99.6	DOA_SUNT...	ADDRESSES	Inferred	0	1000	996
Profile_ADDRESSES_X	STATE_CODE	99.8	DOA_SUNT...	ADDRESSE...	Inferred	0	1000	998
Profile_ALLOCATIONS	FEE_TYPE	71.0	DOA_SUNT...	ALLOCATIONS	Inferred	0	1000	710
Profile_CEU_CLASS_LOCATIONS	CLASS_STATE	80.1	DOA_SUNT...	CEU_CLASS...	Inferred	6.8	1000	801
Profile_CEU_CLASSES	CLASS_STATE	95.2	DOA_SUNT...	CEU_CLASS...	Inferred	0	1000	952
Profile_CEU_PROVIDERS	BUSINESS_STATE	87.5	DOA_SUNT...	CEU_PROVI...	Inferred	0.5	1000	875
Profile_CEU_USR	BUSINESS_STATE	85.4	DOA_SUNT...	CEU_USR	Inferred	1.1	1000	854


**Exhibit 6: DOA SUNTRACK ADDRESSES Fields**



### UF Drill Down

Drill down: ADDRESS\_1 = 'UNIVERSITY OF FLORIDA' (First 100 rows only)

EID	OWNER_EID	OWNER_TABLE	GROUP_CODE	ADDRESS_TYPE_1	START_DATE	STOP_DATE	ADDRESS_1	ADDRESS_2	ADDRESS_3	CITY	COUNTY_CODE
2588000	2588799	PERSONS	RUPSTAFF	MAIL	2000-12-02 08...	NULL	UNIVERSITY O...	PO BOX 110690	NULL	GAINESVILLE	1
2645186	2645185	PERSONS	RUPSTAFF	MAIL	2000-12-02 08...	2007-04-16 00...	UNIVERSITY O...	PO BOX 110690	NULL	GAINESVILLE	1
3312768	3312756	PERSONS	RUPSTAFF	BUSINESS	2004-02-11 00...	NULL	UNIVERSITY O...	2199 SOUTH R...	NULL	FORT PIERCE	56
2818630	2534559	PERSONS	RUPSTAFF	BUSINESS	2000-12-11 00...	NULL	UNIVERSITY O...	2725 BINION R...	NULL	APOPKA	48
3149141	3149129	PERSONS	RUPSTAFF	BUSINESS	2002-02-05 00...	NULL	UNIVERSITY O...	2725 BINION RD	NULL	APOPKA	48
3565389	2595689	PERSONS	RUPSTAFF	BUSINESS	2001-05-30 00...	2005-06-29 00...	UNIVERSITY O...	1408 24T ST SE	NULL	RUSKIN	29
3718360	3718332	PERSONS	RUPSTAFF	BUSINESS	2001-07-10 00...	NULL	UNIVERSITY O...	27 BINION RD	NULL	APOPKA	48
3483570	2628522	PERSONS	RUPSTAFF	BUSINESS	2001-06-08 00...	2001-11-13 00...	UNIVERSITY O...	BREC PO BOX...	NULL	BELLE GLADE	50



**Exhibit 7: DOA SUNTRACK ADDRESSES Drill-Down**

### 3.3.2.1 DATA VALIDATION

Data Validation involves checking the data to make sure it meets standard rules (e.g. it must be numeric or it must match a certain set of codes). Validation logic is currently distributed across the various AgCSS applications and utilities. As these applications are subsumed by the Enterprise Solution, it will be important to capture these validation rules. This is especially important from a data migration standpoint. Any time data is moved or transformed, there is a risk of introducing bad data and errors in the form of move errors, transformation errors, or operational errors. Validating data by traditional methods is prone to errors, as well as being cumbersome and time consuming. Automated data validation should therefore be done as part of the data migration and on an ongoing basis.

Address (Location) Validation is a special type of validation. It uses special algorithms to parse, analyze, verify, correct, and format addresses according to local postal standards. Geocoding





can also be used to validate or enrich customer address data with up-to-date and accurate latitude and longitude information.

### **3.3.2.2 STANDARDIZATION**

Data Standardization is an important component of data cleansing. During the initial AgCSS Data Assessment, default domain standards from Informatica were used. This provided a context for understanding the current state of AgCSS data. For data cleansing, FDACS will want to extend these domains to reflect their specific business rules and data formats. The refinement of these domain standards should reflect the same sequence mentioned earlier in data cleansing: Start by focusing on setting up the scorecards for the most critical primary and foreign keys, because they will pose the greatest risk to your migration. Then focus on the top five business data problems, followed by your most common data elements. Eventually these standards should be managed by the Data Governance Team; however, the initial recommendation is to start small and move quickly through the standardization activities. We recommend limiting initial standards participation to just the Data Stewards from DoL and DoA, and the Informatica tool administrators as the intent is to clean and prepare the data and to reduce bureaucracy. The Data Governance Team can be scaled up once the System Integrator (SI) is brought on board.

### **3.3.2.3 MATCHING (INTEGRATION)**

Matching is used to link related sets of data. This is an important consideration when merging potentially related information from multiple applications into a single Enterprise Solution. For instance, identity matching is used to link together all of the related customer records from DoL and DoA. This enhances customer service by improving the “single view of the customer”. This provides cost-efficient and effective customer communication by eliminating duplicates. Matching also helps improve decision making by providing complete, accurate, consistent, and current customer data.

Data cleansing tools use several different types of matching algorithms to identify possible matching or duplicate records. Each implementation is based on determining the similarity between two strings, such as name and address. There are implementations that are well-suited to use with date strings and others that are ideal for numeric strings. In any case, matching tools can help connect related data from disconnected sources.

### **3.3.2.4 PARSING**

Parsing can be used to clean up data fields that are actually made up of several different types of content and formats. For instance, the AgCSS data profiling revealed that a license ID has two different formats. If the license was issued prior to 1999, the system embedded a straight date; otherwise the date was calculated based on a 2020 date. Another example is that a current DoL application is coded such that the program may redefine a data element into three separate fields, each having its own meaning and rule dependencies (if the first character is “1”



then the next 3 characters represent the department). These types of data definitions are problematic and should be cleaned prior to migration to the Enterprise Solution. Parsing rules can be defined which can analyze these sometime complex hidden data formats and transform them into the appropriate formats.

#### **3.3.2.5 DEDUPLICATION**

Deduplication is the process of eliminating duplicate records. Duplicate data records lead to problems when data is retrieved or updated. For instance, the contact information may be changed on one customer record but not on another if multiple records for the same customer exist. The next time the customer needs to be contacted, the old information may be used by mistake. Techniques such as matching and join analysis may be used to help with deduplication.

#### **3.3.2.6 DATA CLEANSING OVERVIEW**

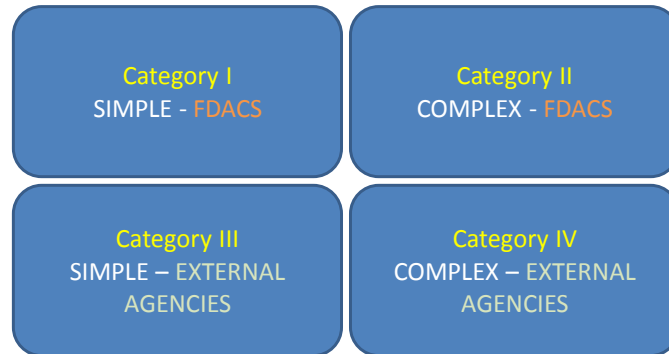
Enterprise data cleansing can be an overwhelming task. It is best to break it down into more manageable groups of activities sequenced into logical steps. The following are the steps required to prepare the data for inclusion into the Enterprise Solution:

- Step 1. Profile the data
- Step 2. Validate and Quantify Data Quality Issues
- Step 3. Categorize, Prioritize, and Assign Responsibility
- Step 4. Cleanse

The diagram below represents the process for evaluating the different types of effort required, starting with the internal cleanup of a simple data entry error all the way to coordination of a complex data issue across multiple agencies.



## Cleansing Effort Categorization



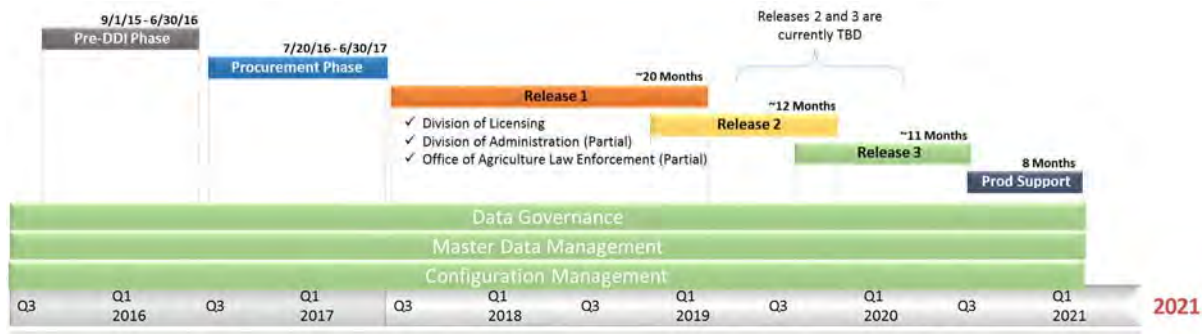
### Exhibit 8: Cleansing Effort Categories

The following descriptions provide details about the categories depicted above.

- Category I
  - > Data Belongs to FDACS and it is a Simple fix
  - > Automated Programs / Built-in Rules
- Category II
  - > Data Belongs to FDACS and it is not a Simple Fix
  - > May require changes to legacy programs or interfaces
  - > May require extensive manual remediation
- Category III
  - > Data Belongs to External Agencies and it is a Simple Fix
  - > Need to coordinate with External Agencies
  - > May need a data staging environment to coordinate changes
- Category IV
  - > Data Belongs to External Agencies and is Complex to fix
  - > Need confirmation or resubmittal of data from External Agencies
  - > Requires schedule coordination across External Agencies
  - > Agencies may want to log into Analysis tool to fix data

### **3.3.2.7 TIMELINE FOR DATA PREPARATION**

The exhibit below presents a high-level timeline for the AgCSS data preparation.



### Exhibit 9: AgCSS Data Preparation Timeline

This timeline assumes the use of a Data Quality tool to analyze the content and structure of FDACS data to prepare it for migration into the Enterprise Solution. The following steps should be the sequence used during the Invitation to Negotiate (ITN) phase. These priorities apply to data cleansing and supporting activities such as Data Governance.

1. Focus on the most critical primary and foreign keys, because keys often pose the greatest risk in migrating to an Enterprise Solution.
2. Focus on the top five business data problems.
3. Focus on the most common data elements.

The following tasks should be repeated for each iteration of the AgCSS Project (i.e., each Release). Additional column details will be resolved as source/target mapping is completed and conversion programs are designed. The DDI phase should therefore strive to complete many of the activities which began in Pre-DDI and ITN phases. These activities are listed below.

**Profile Data:** Profiling reveals the content and structure of data. Profiling is a key step in any data project, as it can identify strengths and weaknesses in data and help FDACS define a data cleansing plan. This step has been performed as part of the Pre-DDI (Design, Develop, and Implement) phase.

**Generate Data Scorecards:** A scorecard is a graphical representation of the quality measurements in a profile. This step has been performed as part of the Pre-DDI phase.

**Standardize Data Formats and Values:** Use collected data profiles and scorecards to standardize data to remove errors and inconsistencies found when a profile is run. Standardized variations in punctuation, formatting, and spelling can be used, for example, to ensure that the city, state, and zip code values are consistent. This activity should be performed by FDACS, starting during the time of the ITN process and continuing through the implementation.



**Parse Composite Fields:** Parsing reads a field composed of multiple values and creates a field for each value according to the type of information the field contains. Parsing can also add information to records. For example, a parsing operation can be defined to add units of measurement to product data. This activity should be performed by FDACS, starting during the time of the ITN process and continuing through the implementation.

**Validate Key Data Elements (Master Data Management):** Master Data Management is another critical process for ensuring data quality. For example, address validation evaluates and enhances the accuracy and deliverability of postal address data. Address validation corrects errors in addresses and completes partial addresses by comparing address records against address reference data from national postal carriers. This activity should be performed by FDACS, starting during the time of the ITN process and continuing through the implementation.

**Eliminate duplicate records:** Duplicate analysis calculates the degrees of similarity between records by comparing data from one or more fields in each record. Two types of duplicate analysis should be performed: field matching, which identifies similar or duplicate records; and identity matching, which identifies similar or duplicate identities in record data. This activity should be performed by FDACS, starting during the time of the ITN process and continuing through the implementation.

**Map Source to Target:** This mapping occurs during the initial stages of Release 1 and is performed for both the application and data areas. From an application perspective, a requirements traceability matrix should be used to formally map requirements to the corresponding target system components. In cases where requirements cannot be mapped to the source system, decisions on gap mitigation should be documented by the IT Governance Team. Any customization will require a substantial business case and budgetary approval.

From a data perspective, mapping should be performed in the migration tool. An initial mapping of the enterprise source data was performed as part of data profiling. This information should be updated to reflect any changes to the source systems for Release 1. Once the target system is identified, the target definitions will need to be captured and mapped to the source data elements. The data governance process will be required to resolve issues related to gaps and authoritative sources. Potential conversion and interfaces should also be identified.

**Design Conversions and Interfaces:** Create the appropriate design documents (e.g. an Interface Design Document (IDD)) based on requirements and metadata gathered in the previous steps.

**Develop Conversions and Interfaces:** Configure conversions and interfaces leveraging migration tools where possible as opposed to custom code.

**Test Conversions and Interfaces:** Unit test conversions and interfaces. Mock migrations are used to test integrated code, procedures, and timings associated with conversions and interfaces.



**Implement Convert, Migrate, and Validate Conversions and Interfaces:** This involves converting legacy data, validating data and referential sets, migrating data and code to production, deactivating appropriate legacy interfaces, and activating new interfaces for Release 1.

**Sustainment of Conversions, Interfaces, and Data:** Bug fixes and any necessary data cleanup.

## SECTION 4 ENTERPRISE PROCESS ASSESSMENT

Moving to an Enterprise Solution will require a corresponding enterprise data solution. FDACS IT currently operates as a loosely coupled organization of largely independent applications. Establishing an enterprise AgCSS will provide many significant benefits (e.g., a single view of department customers), but it will also require a shift in the way FDACS manages applications and data.<sup>3</sup> FDACS recognizes the importance of Enterprise Management procedures and resources and has requested recommendations on implementing and maintaining an Enterprise Solution. This portion of the assessment will focus on the Enterprise Management processes required to establish and maintain enterprise data.

Initially, a data governance survey was created to assess the department's current governance structure and to recommend structures that could provide more efficient governance. The survey yielded 146 responses from staff associated with the AgCSS. In-person and group interviews were then conducted that built upon the survey findings.

With this knowledge, the project team developed enterprise process recommendations to aid in the transition to an Enterprise Solution. To ensure alignment with business and technical needs, the project team worked in tandem with the PPMO as well as engaged numerous data leads across the department.

Below is a breakdown of the number of responses by Division:

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<sup>3</sup> Notes -- Inspection Standardization Workgroup



DIVISION	NUMBER OF RESPONSES
Administration	8
Agriculture Environment Services	13
Agriculture Law Enforcement	8
Agriculture Water Policy	1
Animal Industry	8
Aquaculture	1
Consumer Services	9
Florida Forest Services	11
Food Safety	1
Food, Nutrition and Wellness	1
Fruit and Vegetables	12
Licensing	27
Marketing and Development	5
OATS	5
Plant Industry	16

**Exhibit 10: FDACS Responses by Division**

As data was collected it was organized into twelve key areas essential to information management at the enterprise level. Utilizing the twelve areas allowed the project team to analyze the compiled information and categorize responses. The diagram below represents the areas of enterprise management which were assessed and will be discussed in the following sections.



**Exhibit 11: FDACS Enterprise Management**

We will be stepping through the results for each of these areas in the following paragraphs. Overall, the results of the survey and interviews align with the current federated application approach. This means that there is a lack of an enterprise management process. This is not



surprising given the current phase of the AgCSS Project. The rest of this section will describe the processes which will be needed to implement the AgCSS Project.

## 4.1 OVERARCHING ENTERPRISE PROCESSES

We will start by discussing the overall processes, then transition into the detailed areas. It should be noted that detailed descriptions of the four unifying processes are provided as part of the future operational model in the Appendix U\_Workforce Training and Transition Plan. These processes are

- Governance
- Solution Management
- Change Management
- Organizational Alignment

### 4.1.1 DATA GOVERNANCE

Governance aligns the organization with the business strategy and enables prioritization of initiatives as well as a plan for the introduction of processes that will continuously monitor and improve data quality.

FDACS's Data Governance organization will span the entire enterprise and collaborate with many different user communities. SharePoint and other tools can be used by data stewards to enable this collaboration and manage data issues.

### 4.1.2 SOLUTION MANAGEMENT

Successful implementation and delivery of enterprise data management strategies require proper planning and active solution management. It should align the overall organization with processes that will continuously monitor and improve data quality. Solution Management should also support a common enterprise strategy and enable prioritization of enterprise data initiatives.

### 4.1.3 CHANGE MANAGEMENT

Leading change (i.e., process, people, roles, etc.) and executing frequent communications are key aspects of any departmental initiative. A structured Change Management methodology should be utilized that carefully aligns and tailors the Change Management elements necessary for the department stakeholders to accept change.

Change Management will address the people side of change, ensure stakeholder communication and engagement, and manage resistance. Activities in this area will need to take advantage of portals and websites to help drive communication, engagement, and





stakeholder buy-in. Survey tools such as Survey Monkey should be used to baseline resistance levels and track adoption.

#### 4.1.4 **ORGANIZATIONAL ALIGNMENT**

The data management strategy may result in changed roles and responsibilities of the individuals (and teams) that are currently in place. Organizational alignment will focus on understanding and defining the organizational use of that information as part of the Organizational Change Management effort.

Additionally, the data management strategy may result in changed roles and responsibilities of the individuals (and teams) that are currently in place within the organization. Organizational alignment activities will develop and manage the appropriate assignment of resources and skillsets to the roles necessary to successfully implement the AgCSS Project.

## 4.2 **SPECIFIC MANAGEMENT AREAS**

This section describes the recommended strategies and approaches to data management from an enterprise view. Each section provides a specific function that will contribute to the overall quality and sharing of data within and between divisions. Each sub-section is associated with an overarching enterprise management assessment area.

### 4.2.1 **MASTER DATA MANAGEMENT STRATEGY**

Master Data Management (MDM) consists of the implementation of repeatable sets of business rules, as well as supporting data management and data distribution systems that define the value, content, and structure of specific data and data attributes. MDM focuses on those data elements which require consistent use across the enterprise. For example, you would want customer ID to be consistent across the various types of licenses.

The following statements were presented in the FDACS stakeholder survey to gain insights into current master data management issues:

- A. I have access to data I need to perform my job.
- B. I understand how to use the data.
- C. I use multiple data sources to do my job.
- D. I use information from other divisions or agencies.

Although employees noted that they have access to data to perform their jobs as well as understand the data that they are using, employees sometimes needed to access multiple applications to pull together the information they needed.

Based on analysis and past experience, master data management issues can likely be attributed to the following issues:



- 1. Duplicate data entry:** Data is manually entered into more than one application, and the person or persons entering the data into Application 1 does not enter the same data into Application 2, causing a mismatch.
- 2. System integration timing:** Data entered into Application 1 is designed to be copied into Application 2; however, the synchronization of these two systems takes place overnight or at a different cycle than is understood by the user. This causes confusion when users expect that this synchronization should occur immediately.
- 3. Inconsistent data entry rules:** Data entry into systems requires different formats for the same information. For example, one common situation that repeatedly causes frustration is the entry of Social Security Numbers (SSN). Data profiling revealed different systems required different SSN formats. One system requires that numeric characters only be entered for the SSN, while a second requires dashes, and a third requires slashes. This ends up causing users to maintain physical paper “cheat sheets” to know what format to enter into what application.
- 4. Unclear system data definition:** In some cases, the same “named” data between applications may actually have different purposes and meanings from one application to the other. The Metadata Management section of this document provides more details about this topic and the importance of good clear business and technical definitions related to data.

True Master Data Management (MDM) will be a major undertaking for FDACS. It requires a level of sophistication which will likely require several years to adopt. Fortunately, implementing the following basic data quality strategies and tools are also a good first step in implementing MDM as part of the AgCSS Project’s Enterprise Solution.

#### 4.2.2 DATA QUALITY STRATEGY

Data Quality involves processes for verifying data within source systems and following standards so that business rules are in place to govern data content and format.

The following survey questions were used to assess end user experience with data quality:

4. How difficult is it to combine information from multiple sources (e.g., spreadsheets)?
5. Have you seen inconsistent data formats in your area, across divisions, offices, or bureaus? For example, do address fields have different formats in different applications?
6. In your area, are there types of data which are out dated and no longer used?

#### Response Summary:

Data that is outdated or inconsistent can make combining data across multiple sources or systems very difficult. Most of the department respondents indicated they do an average job of



keeping consistent data across all divisions. The data profiling did identify several data quality issues. The number of data quality issues does not appear to be out the range typically found at this stage of a project, but these data quality issues will need to be addressed.

#### 4.2.3 **METADATA MANAGEMENT PROCESS**

Data description, better known as metadata, allows employees to understand data and how it should be used. For example, a list of available code value descriptions may be available, but is not helpful if employees do not know where to find this information. Metadata Management effectively defines and organizes the department's metadata, which provides valuable ways to view and report on information that drives decisions and actions.

Information on Metadata Management was gathered through individual interviews and existing department documentation. The following survey statements and questions were used to assess the Metadata Management.

13. Please rate how hard it is to find descriptions for information:

- A. Format.
- B. Business description.
- C. Usage recommendations.
- D. Validation rules.
- E. Source of data.

14. Look up tables are used consistently.

15. Is a data dictionary or glossary accessible?

#### **Response Summary:**

The overall responses to these statements and questions were neutral. The assessment for the Division of Licensing is above average compared to the Division of Administration and the overall department. Overall, the responses reveal an opportunity to improve the degree that staff know about the metadata information as well as their overall understanding of the data. Metadata becomes increasingly important as employees begin to work with enterprise data outside of their typical business area.

#### 4.2.4 **ANALYTICS APPROACH**

Analytics includes the use of advanced analytic tools like statistical analysis, predictive analysis, and forecasting to better determine strategy and direction. Within the department, legacy data is very important to business operations. Reporting tools are used by employees on a regular basis to access new and legacy data. Analytics on this operational activity will allow the divisions and offices to make decisions and track business performance.

The following survey statements were presented to assess the use of analytics:



16. I use information from reports and spread sheets:

- A. To make decisions.
- B. To identify opportunities or risks in my area.
- C. Compare my performance with peers.
- D. To plan future actions or investments.

17. I have access to statistical or reporting tools.

18. I use historical data to do my job

19. My area uses Key Performance Indicators (KPIs) or performance measures to:

- A. Define business goals.
- B. Track business goals.
- C. To improve business performance.

**Response Summary:**

Overall, the responses tended to be neutral. The results from 17 and 18 indicated a positive use of analytics and trending analysis, although KPI usage is still neutral. The possible lack of KPIs should be addressed as part of the AgCSS design.

**4.2.5 DASHBOARDS, SCORECARDS, AND REPORTING**

Dashboards, Scorecards, and Reporting are included in the process of converting transaction or production information into useful knowledge via available reporting tools for real-time (dashboard), snapshot (scorecard), and detailed data display (reporting).

The following survey statements were presented to assess the use of dashboards, scorecards, and reporting:

20. I am able to tailor reports to meet my specific needs. For example, I can use excel spreadsheet or reporting tools to drill down on specific areas of concern.

22. I rely on preformatted reports.

24. I provide reports for:

- A. Internal use within my division or team.
- B. Data or reports which are sent to external divisions.
- C. Data or reports which are sent to external organizations.

**Response Summary:**



Based on the responses from this area of the survey, it shows that employees rely more on tailored reports that they can create than preformatted reports they are provided. Also, information is shared within the division where the employee works compared to sending reports to other divisions or offices. Division of Administration has more reports that are shared across all divisions and offices since they deal with financial and other critical information.

#### 4.2.6 **SECURITY AND PRIVACY APPROACH**

Security and Privacy consists of addressing and maintaining enterprise security and data privacy standards. Based on the apparent widespread use of sensitive information, there appears to be an overwhelming requirement for data security.

The follow survey questions were presented to assess the use of Security and Privacy processes:

27. Do you deal with confidential information that is excluded from public records (e.g. SSN or DOB)?

28. Do you deal with credit card information?

#### **Response Summary:**

All respondents noted that they deal with PII to do their jobs. This shows that there would be a need for a data masking technique or procedure to be used in order to keep PII data private.

#### 4.2.7 **DATA INTEGRATION STRATEGY**

Data Integration is the process of “extracting” data from internal and external sources, “transforming” it to fit business needs, and “loading” it into appropriate systems, often utilizing an ETL (Extract, Transform, Load) tool. Based on the Enterprise Process Assessment, unless mitigated, the incremental implementation of an Enterprise Solution will drive data integration complexity that can lead to several data integration issues:

- 1. Lack of centralized management of extracts, transformations, and loads:** This leads to redundancy and inconsistency in rules governing extracts, transformations (cleansing and reformatting), and loads.
- 2. Inadequate data extract tools:** Requirements exceed “home grown” capabilities resulting in data integrity and consistency issues.
- 3. Issues completing nightly data downloads:** Data synchronization issues are likely to occur if all of the nightly downloads are not completed.
- 4. Challenges in merging information from multiple sources:** Different data is used to identify information as it passes through various FDACS organizations and processing stages. This makes it harder to analyze related information across teams or projects.



#### 4.2.8 DATA STRATEGY AND ARCHITECTURE

Data Strategy and Architecture: The development of strategic direction and implementation planning for the use of data (including data analytics, Enterprise Warehouse, etc.) within the department. Data Architecture defines how data is stored, managed, and used in a system.

There are many different factors to consider within Data Strategy and Architecture that are covered in detail throughout the SECTION 4 ENTERPRISE PROCESS ASSESSMENT and Section 5 RECOMMENDATIONS portions of this document (e.g., master data management, security, etc.). The following are key data strategy and architecture gaps identified:

1. **Lack of consistency of matching identifiers:** This interferes with the ability to analyze information across the enterprise or lifecycles.

**Need for one-stop-shop for data:** Data is too hard to find and access. Users are unable to identify what data is available, what it means, and where to get it. **Lack of industrial strength tools:** Many of the tools used to manage data are outdated and unable to handle the complexity of the FDACS environment.

Recommendations to address the issues, gaps, and challenges uncovered during the Enterprise Process Assessment are outlined in the section that follows.

## SECTION 5 RECOMMENDATIONS

This section will describe the findings and recommendations based off the results from each overarching management assessment area.

The following sub-sections provide descriptions of these solutions.

### 5.1 IMPLEMENT DATA GOVERNANCE

This solution focuses on the implementation of data governance recommendations. The implementation of these recommendations will include identification of data stewards. A data steward is responsible for carrying out data usage and security policies as determined through enterprise data governance initiatives, acting as a liaison between the IT department and the business side of an organization.

The goal of this solution is to make the overarching Data Governance recommendations actionable and to begin implementing those recommendations within the FDACS environment.

The first step in this solution is to identify and select the initial Data Stewards and Data Custodians who will participate in the Data Governance process moving forward. The Data Stewards should consist of representatives from both the Divisions and Offices. These individuals will help define the data related policies for items such as data standards, data



quality monitoring, identifying business needs related to data, etc. These individuals will also be asked to participate in other solution activities such as tool requirements and evaluations.

### 5.1.1 DATA GOVERNANCE FEATURES

The table below outlines the key features of the proposed solution.

<b>IMPLEMENT DATA GOVERNANCE</b>	
<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>▪ Instituting Data Stewards and Custodians will help drive data consistency across the organization.</li> <li>▪ Repeatable processes established which set expectations for business and technology teams on how work is to be completed and when solutions will be implemented.</li> <li>▪ Detailed data governance processes and procedures developed and put into place to improve data quality.</li> </ul>
<b>Solution Requirements</b>	<p><b>Project Effort/Duration:</b></p> <ul style="list-style-type: none"> <li>▪ Identification of initial Data Stewards and Custodians and establishing formal meeting cadence should require approximately two months.</li> <li>▪ Creation of documentation for data governance decision-making processes and governance mechanisms should require approximately two months. This will necessitate close coordination with division and office participants and will leverage the Data Stewards and Custodians identified.</li> <li>▪ The rollout of decision-making processes and governance mechanisms should require approximately six months.</li> <li>▪ Continued rollout and refinement of data governance decision-making processes and governance mechanisms will be ongoing..</li> </ul> <hr/> <p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> Business Owners, Data Stewards, and Data Custodians will be involved in Departmental Data Governance and each group of individuals will consist of identified FDACS employees.</li> <li>▪ <b>External (Vendors):</b> Consulting vendor(s) to help identify the data governance team members and to create the detailed “actionable” processes and mechanisms.</li> </ul> <hr/> <p><b>Hardware Required:</b> New hardware may be required if Data Governance tools are purchased in the future.</p> <hr/> <p><b>Software Required:</b> Optional software may be eventually selected for Data Governance.</p>



**IMPLEMENT DATA GOVERNANCE**

	<p><b>Key Activities/Tasks:</b></p> <ul style="list-style-type: none"> <li>▪ Identify and assign initial Data Stewards and Custodians, establish formal meeting cadence, and begin regular meetings.</li> <li>▪ Create the data governance decision-making processes and governance mechanisms documentation. This will require close coordination with division and office participants and will leverage the Data Stewards and Custodians.</li> <li>▪ Establish data governance decision-making processes and governance routines as defined above.</li> <li>▪ Rollout decision-making processes and governance mechanisms.</li> <li>▪ Refine data governance decision-making processes and governance mechanisms.</li> </ul>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b> Certain application and system owners will now have additional Data Governance responsibilities.</p>
	<p><b>Process:</b> An established repeatable process will be put into place for how enterprise data initiatives are developed and implemented. There will also be an overall data governance process established that will allow FDACS to put better controls in place to ensure a higher quality of data. In addition, repeatable processes will be leveraged for gathering enterprise data tool requirements, which will assist with tool evaluation and selection.</p>
	<p><b>Technology:</b> Data Governance software is optional. The decision to purchase this software will be made by the IT Governance Team and Data Stewards in future phases.</p>
<p><b>Solution Risks and Limitations</b></p>	<ul style="list-style-type: none"> <li>▪ Creating buy-in across the organization will be a challenge.</li> <li>▪ Getting time required from participants.</li> <li>▪ Properly establishing new processes.</li> <li>▪ Ensuring effective communications to a broad audience.</li> </ul>

**Exhibit 12: Features of Data Governance Implementation**

**5.2 IMPLEMENT SOLUTION MANAGEMENT**

The Implement Solution Management recommendation focuses on the approach that will be used to manage the different solutions identified. The Implement Solution Management (also known as project management) consists of identifying how the different teams and areas will come together for overall successful delivery of the solutions. The alignment of key requirements, design, and development activities will be critical during solution deployment and





will require the strong coordination of development activities between the divisions and offices and OATS.

The Appendix U\_Workforce Training and Transition Plan document provides considerable detail on solution management, while this document focuses on implementing Solution Management from an enterprise data perspective at FDACS.

Solution Management involves the coordination of key requirements, design, and development activities which impact the data. This will require the use of project management and collaboration software, which are already widely available within FDACS.

From a technical standpoint, Configuration Management tools may be required to orchestrate the deployment of software and upgrades associated with the solutions. It is assumed these tools and software deployment procedures already exist within FDACS.

### 5.2.1 SOLUTION MANAGEMENT FEATURES

The table below outlines the key features of the proposed solution.

<b>IMPLEMENT SOLUTION MANAGEMENT</b>	
<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>▪ Solution Management provides common guidelines, methodologies, and approach to manage the rollout, interaction, and integration of the solutions outlined for the AgCSS initiative.</li> <li>▪ Teams will be able to use the common approach outlined below for tool selections and software implementations.</li> <li>▪ Department and office personnel will be able to better coordinate and manage interdependent work activities.</li> <li>▪ FDACS will realize earlier ROI because portions of the Project can be delivered sooner and incrementally.</li> <li>▪ Feedback is shared in the iterative deployment processes and will help guide future iterations, improve quality, and ensure that value is achieved.</li> <li>▪ Better resource utilization is realized as expertise is spread out over time.</li> <li>▪ A rhythm is established whereby the division receives tangible deliverables on a frequent basis.</li> <li>▪ Changing business priorities are accommodated by reordering deliverables in subsequent iterations.</li> <li>▪ A full development cycle within each iteration assures quality deliverables from analysis to QA.</li> </ul>



**IMPLEMENT SOLUTION MANAGEMENT**

	<ul style="list-style-type: none"> <li>▪ Planning sessions at the start of each iteration ensure the Project maintains a strong master plan, following the enterprise roadmap.</li> </ul>
<p><b>Solution Requirements</b></p>	<p><b>Project Effort/Duration:</b> Solution Management will be ongoing throughout the rollout of the overall set of solutions.</p>
	<p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> <ul style="list-style-type: none"> <li>&gt; Solution Management resource(s) as identified for each of the solutions being developed.</li> <li>&gt; Other resources identified in the Data Governance document, such as the IT Governance Team and Data Stewards.</li> </ul> </li> <li>▪ <b>External (Vendors):</b> <ul style="list-style-type: none"> <li>&gt; Solution Management resource(s) as identified for each of the solutions being developed.</li> </ul> </li> </ul>
	<p><b>Hardware Required:</b> If possible, the solution teams should leverage a common SharePoint site for storage of Solution Management documentation such as project plans, communication plans, etc.</p>
	<p><b>Software Required:</b> A project management tool such as MS Project is recommended.</p>
	<p><b>Key Activities/Tasks:</b></p> <p>The following common, repeatable activities will be established:</p> <ul style="list-style-type: none"> <li>▪ Solution Management Processes.</li> <li>▪ Iterative Implementation Approach.</li> </ul>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b> The leadership, management, and development resources identified in the AgCSS solutions should adhere to the Solutions Management recommendations, guidelines, and timelines.</p>
	<p><b>Process:</b> The following processes will be required for successful Solution Management:</p> <ul style="list-style-type: none"> <li>▪ Cross-Solution Coordination</li> <li>▪ Schedule/Resource Management</li> <li>▪ Scope/Change Control</li> <li>▪ Financial Management</li> <li>▪ Risk Management</li> </ul>



**IMPLEMENT SOLUTION MANAGEMENT**

	<ul style="list-style-type: none"> <li>▪ Issue Management</li> <li>▪ Document Management</li> <li>▪ Communications Management</li> </ul> <p><b>Technology:</b> Solution Management tools will be needed. Use of a server to share the project schedule and plans is also recommended. Specific software such as Microsoft Project Server can enable a common understanding of solution progress as integrated teams (FDACS, System Integrator, and Contractors) are working on the same solutions.</p>
<p><b>Solution Risks, Limitations</b></p>	<ul style="list-style-type: none"> <li>▪ <b>Resistance:</b> There may be resistance from development teams to adhere to the rigor and structure required in the Solution Management process. Training with leadership support will be provided to the teams to mitigate this risk.</li> <li>▪ <b>Unique Iterations:</b> Some iterations may require unique approaches and techniques not described in the current approach. If this occurs, the approach will be updated after the iteration is complete so that future similar iterations can take advantage of the lessons learned.</li> </ul>

**Exhibit 13: Features of Solution Management Implementation**

**5.2.2 ADDITIONAL SOLUTION MANAGEMENT PROCESS DETAILS**

The following Solution Management processes are designed to steer projects through execution, enable the appropriate level of rigor and governance, and provide the necessary coordination and communication to stakeholders:

- Cross-Solution Coordination
- Schedule and Resource Management
- Scope/Change Control
- Financial Management
- Risk Management
- Issue Management
- Document Management
- Communication Management

The following sections provide additional details on these Solution Management processes.



#### **5.2.2.1 CROSS-SOLUTION COORDINATION**

A critical component of Solution Management is understanding the impact of the AgCSS across the FDACS organization. For example, Data Governance processes should be established prior to each iteration to ensure Data Steward participation. Because the implementation approach will be iterative, with data dependencies or parallel interface implementations, it will be critical to focus on the timing and coordination between solutions. For example, the implementation of the Move and Synchronize Data solution will be required prior to the completion of the Institute Enhanced Reporting Capabilities solution.

#### **5.2.2.2 SCHEDULE AND RESOURCE MANAGEMENT**

Detailed project planning consists of reviewing the goals of the solution and making sure those tasks, deliverables, and resources are identified and documented. This is one of the most important Solution Management functions, particularly given the iterative nature of this Enterprise Solution approach and the need to move rapidly from profiling, to cleansing, to migration. FDACS business and technical personnel should work closely together to manage the steps needed to prepare and migrate data into the Enterprise Solution.

#### **5.2.2.3 SCOPE/CHANGE CONTROL**

The scope and change control processes will be defined during project initiation. From a data perspective this refers to the scope of Extract, Transform, and Load (ETL) activities required to move the legacy data into the Enterprise Solution. Interfaces scope and will also be important. Interface changes can require considerable coordination, especially interfaces to outside organizations.

#### **5.2.2.4 FINANCIAL MANAGEMENT**

Financial management will ensure that the Project is completed within the approved budget through cost estimating and cost control processes. Project budget tracking will be shared through status reporting and regularly scheduled project meetings.

#### **5.2.2.5 RISK MANAGEMENT**

Throughout the data preparation process, it will be important to proactively manage and minimize data issues on the overall Enterprise Solution. Data risks will be evaluated and categorized based on likelihood of occurrence and magnitude of project impact. Risk mitigation plans should be developed for the most significant risks and tracked throughout the Project. Risks will be reviewed regularly at project status meetings to assess changes in likelihood and impact. Risks with a high likelihood of impacting the timeline or deliverables should be reviewed by the IT Governance Team.



#### **5.2.2.6 ISSUE MANAGEMENT**

Throughout the solution lifecycle, data issues should be identified as they occur in order to address them quickly and minimize any adverse impacts. For instance, there may be application conflicts in the content or format of identifying information. Unresolved issues or data gaps that negatively impact the solution's cost, schedule, or quality should be properly escalated to ensure a quick and decisive resolution. Issues will be communicated through status reporting and regularly scheduled project status meetings.

#### **5.2.2.7 DOCUMENT MANAGEMENT**

Tightly controlled document management processes and procedures are necessary. Documents should be logically stored and accessible only by the appropriate individuals as part of the development lifecycle. This will be especially important in areas such as Interface Definition Documents (IDD), business validation rules, and code tables.

#### **5.2.2.8 COMMUNICATION MANAGEMENT**

Information must be shared in a timely manner to allow stakeholders the opportunity to digest and react to messages. The Solution Management team will be responsible for communications management. Stakeholders will be identified during project initiation. A data-specific communication plan will be created, including communication requirements, delivery channels, and messaging for each stakeholder group, and should address both internal and external communications. Internal communications should include Team Status Meetings (weekly), IT Governance Team Milestone Briefings (monthly), and Status Reporting (bi-weekly).

### **5.3 IMPLEMENT CHANGE MANAGEMENT**

As new reporting capabilities are put in place, individuals across the department will be required to change the way they access information. To help ensure the adoption of new tools and processes, the implementation of the change management solution will help identify the steps required to allow faster and easier adoption. This solution will also address areas that reduce productivity loss during the transition to the new way of accessing information.

The solutions outlined in this document will have significant impact on FDACS employees. This will require a concentrated effort to get the "current experts" comfortable with the new systems so they can become "champions" to support adoption by the rest of the enterprise. In order to ensure timely adoption and proficiency with the new tools and processes, as well as to reduce productivity loss during the transition, the people side of change will need to be closely managed. This solution discusses ways in which to implement change management throughout the department and have it embedded in the way solutions are implemented.

Change management at the project level involves the application of a structured process and set of tools for leading the people side of change to achieve the desired outcome. At the



organizational level, change management is a leadership competency, enabling change within the department. It is also a strategic capability designed to increase responsiveness.

As the department moves to an Enterprise Solution, a new communications plan, change management strategy, and project management methodology will be developed and implemented. This solution should align directly with those efforts and ensure that change management is continuously pursued without interruption.

The table below outlines the key features of the proposed solution.

<b>IMPLEMENT CHANGE MANAGEMENT</b>	
<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>▪ Drive adoption and proficiency of new tools, technology, and processes that are implemented as part of the other solutions outlined in this document.</li> <li>▪ Manage resistance to change to reduce productivity loss and turnover during the implementation of the solutions outlined in this document.</li> <li>▪ Provides reinforcement to sustain the changes brought about by implementing solutions so that progress is not lost after the first few months.</li> <li>▪ Reduces risk in implementation of solutions while boosting morale as stakeholders, such as office employees, feel their voices have been heard.</li> <li>▪ Provides clarity to Department stakeholders as to why the change is needed and what it will take to make the solution a success.</li> </ul>
<b>Solution Requirements</b>	<p><b>Project Effort/Duration:</b> The change management effort should start as early as possible and continue throughout the life of the entire Project. Change management activities should extend beyond the launch of new tools and processes in order to provide reinforcement and continued support to drive adoption and manage resistance. Detailed change management planning should be conducted during the planning stage of each solution to assess the change management effort for each specific solution.</p> <p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> <ul style="list-style-type: none"> <li>&gt; Project sponsors should play an active and visible role in leading the change. Sponsorship should include executives from both business and technical areas that span divisions and offices and the Enterprise Warehouse (e.g., secretaries and CIO).</li> <li>&gt; Internal training leads will play an important role in ensuring employees have access to needed training. These roles can be supplemented by external support if needed.</li> </ul> </li> </ul>



**IMPLEMENT CHANGE MANAGEMENT**

	<ul style="list-style-type: none"> <li>&gt; Change champions are designated team members who will help promote the tools and processes, become super users, and help share messaging within their teams.</li> <li>▪ <b>External (Vendors):</b> The Department would benefit from procuring a change management subject matter expert and lead, as well as one or two change management consultants to support change management activities.</li> </ul> <p><b>Hardware Required:</b> None</p> <p><b>Software Required:</b> None</p> <p><b>Key Activities/Tasks:</b> The project team recommends utilizing a change management approach based on the Prosci® Model and will be structured in three phases: Planning for Change, Managing the Change, and Reinforcing the Change. These activities are described in detail in the Appendix U_Workforce Training and Transition Plan document.</p>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b> The Change Management program is designed to address the people-related impacts of implementing the solutions discussed in this document. Individuals throughout the department will be affected by the solutions being put in place so change management activities should essentially touch all employees and stakeholders. All impacted stakeholders will need to understand how the rollout of enterprise data changes, enhances, and enables their jobs.</p> <p><b>Process:</b> The Change Management efforts will support the adoption of new data and processes.</p> <p><b>Technology:</b> The Change Management efforts will support the adoption of new tools identified in other solution areas.</p>
<p><b>Solution Risks and Limitations</b></p>	<p><b>Employee Resistance and Loss of Productivity:</b> With any change, there is likely to be employee resistance and a decline in productivity. The role of change management is to minimize the degree, duration, and severity of those issues.</p> <p><b>Inactive or ineffective executive sponsorship:</b> According to Prosci® research findings, ineffective sponsorship is the primary obstacle to success in major change projects.</p> <p><b>Late or Insufficient Change Management Efforts/Resources:</b> The 2014 Prosci® Change Management Benchmarking study found that securing sufficient resources and starting change management earlier were identified as two of the top five changes respondents would do differently on the next project. To maximize the effectiveness of the change management program (thereby maximizing the success of the</p>



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## IMPLEMENT CHANGE MANAGEMENT

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implemented solutions), it is important to dedicate sufficient time and resources to change management.

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### Exhibit 14: Features of Change Management Implementation

## 5.4 IMPLEMENT ORGANIZATIONAL ALIGNMENT

Alignment of the organization focuses on aligning activities of the individuals as it relates to how information is captured, stored, and accessed. This consists of bringing together the values, strategy, and systems for the purpose of achieving the overall goal of better access to data and simplified reporting. To enable this, the concept of the Business Intelligence Team (BIT) will be introduced and discussed. The mission of the BIT is to align people, process, and technology to provide every BI user the information needed, at the lowest cost to the enterprise.

### 5.4.1 ISSUE BACKGROUND

The FDACS organization is best described as a “federated” structure, where governance is divided between the divisions and offices. The Enterprise Warehouse’s authority focuses on areas such as economies of scale, standards, and the wellbeing of the enterprise, while divisions and offices have the flexibility to pursue autonomous strategies and independent processes. This allows departments to address the needs of their local constituents while providing interoperability through the Enterprise Warehouse.

While federated organizations are common in large commercial and governmental agencies, they can be challenging to work within from an enterprise information management standpoint. Although divisions and offices share a basic organizational structure, they often have local business processes and data. This inconsistency makes it harder to support enterprise interoperability and increases costs associated with “one-off” solutions. This has also led to the development of FDACS data islands (isolated groups of data) which are hard to find and use. The AgCSS Project is intended to address one of these cross-organizational issues.

The challenges FDACS faces in achieving organizational data alignment are extensive but not unique. Many large, federated agencies have faced similar data challenges. Implementing an Enterprise Solution provides an incredible opportunity for building data alignment. The risk is that in building this solution the focus will be on requirements and processes and the opportunity for building a “Data Driven DNA” will be missed. Business Intelligence Teams have been found to be very effective in building the reporting, analytics, and insights capabilities needed to exploit data-driven enterprise solutions.

Information is a corporate asset and should be treated accordingly. The BIT should work towards elevating the internal view of, and trust in, the department’s data. This is a slow process, but over time will produce a significant return on investment. This section will provide





recommendations on how FDACS could use a BIT to achieve better organizational alignment of data.

#### **5.4.2 *ACHIEVING ORGANIZATIONAL ALIGNMENT OF REPORTING, ANALYTICS, AND INSIGHTS***

The FDACS BIT would be a cross-organizational entity that brings together people from diverse disciplines and with different knowledge, experience and skills to support, enhance and promote process-driven business intelligence. Some of the primary responsibilities would include BI: Coaching, Professional Development, Management of Standards and Best Practices, Tool and Template Configuration,

Given the breadth of services and processes managed in the BIT, team members will need to possess strong analytical, business, and IT skills and have a deep understanding of BI tools and technologies in order to effectively analyze data, interact with stakeholders and understand business requirements.

#### **5.4.3 *PROJECT PRIORITIZATION WITHIN A BIT***

One of the most critical roles of the BIT will be to prioritize data project sequence and funding. North Highland recommends the use of a scoring model for project prioritization within FDACS.

A rigorous prioritization process and scorecard should be established so that business intelligence projects are evaluated consistently and that FDACS's most pressing project development needs are met. A process for prioritizing projects that has worked for other organizations is to map candidate projects into one of four quadrants as shown in the following exhibit.

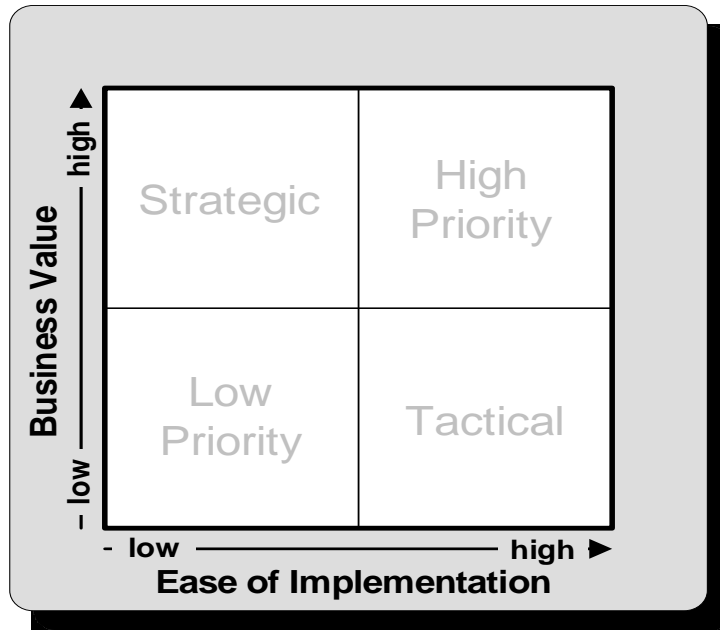


Exhibit 15: Setting BIT Project Priorities

This matrix would help BIT members assess not only the business value of a potential project, but also how and when it can be slotted into the overall program plan.

The table below outlines the key features of the proposed solution.

IMPLEMENT ORGANIZATIONAL ALIGNMENT

Table with 2 columns: Solution Benefits and The BIT will drive value to FDACS through:
- Solution Benefits: A cell containing the text 'Solution Benefits'.
- The BIT will drive value to FDACS through: A cell containing a list of 8 bullet points detailing implementation goals and outcomes.



**IMPLEMENT ORGANIZATIONAL ALIGNMENT**

	<ul style="list-style-type: none"> <li>▪ Coordination of FDACS BI projects to enable business agility and efficiency.</li> <li>▪ Reduction or elimination of redundant efforts.</li> <li>▪ Improvement of the efficiency, use and quality of BI across all areas of FDACS.</li> </ul>
<p><b>Solution Requirements</b></p>	<p><b>Project Effort/Duration:</b></p> <p>The creation and implementation of the BIT should be completed in a phased approach which should coincide with each project’s report building process.</p>
	<p><b>Resources Required:</b></p> <p>The level of resource commitment will be determined during the BIT exploration and research phase.</p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> Several internal resources will be required across the divisions and offices, including:             <ul style="list-style-type: none"> <li>&gt; <b>Executive Sponsor.</b> The executive sponsor will be responsible for directing the priorities and resolving any impasses. This person should be able to:                 <ul style="list-style-type: none"> <li>- Understand business initiatives and their benefit to FDACS</li> <li>- Have the authority to influence resource allocation and funding</li> <li>- Evangelize the benefits of the program to other FDACS executives</li> </ul> </li> <li>&gt; <b>Governance Chair:</b> The Governance Chair is responsible for ensuring that the logistics of the BIT are functioning properly.</li> <li>&gt; <b>Business Decision-Makers:</b> As the FDACS Enterprise Warehouse is deployed to additional subject areas, business decision-makers in those areas should be engaged to help:                 <ul style="list-style-type: none"> <li>- Prioritize projects</li> <li>- Resolve data ownership/data stewardship roles</li> <li>- Identify subject areas to be part of the new architecture</li> <li>- Measure the success of governance projects</li> </ul> </li> <li>&gt; <b>IT Decision-Makers:</b> IT representatives should be from the various functional areas of IT in order to provide perspective and knowledge from the differing factions that affect the BI environment. They should:                 <ul style="list-style-type: none"> <li>- Understand the overall business initiatives</li> </ul> </li> </ul> </li> </ul>



**IMPLEMENT ORGANIZATIONAL ALIGNMENT**

- Understand how IT initiatives may impact BI initiatives
- Understand the overall benefit to FDACS of each initiative
- Prioritize projects to be undertaken

**External (Vendors):**

- > **BI Team Subject Matter Expert and Team Lead** to lead the development of the BIT.
- > Additional external support as needed to help stand up the BIT.

**Hardware Required:** N/A

**Software Required:**

- Workflow Management Tools may be used in the BIT.

**Key Activities/Tasks:**

There should be a four-phase approach to establish and deploy the BI Team.

**Phase 1: Exploration and Research**

- **Initial Assessment:** The AgCSS project has identified and documented several issues and requirements that would justify investment in this initiative.
- **Industry Research:** Learn from industry research and the experience of other organizations. For instance, have other states implemented BI competency centers or centers of excellence?

**Phase 2: Assessment and Definition**

- **Stakeholder Identification.** Impacted stakeholders will need to be included in activities in this and subsequent phases.
- **BI Environment Baseline.** Understand the structure of the Enterprise data environment, including its strengths and weaknesses. It will also be important to assess FDACS’s specific environment, culture, and internal dynamics to inform later phases.
- **Business and IT Priorities, Objectives, and Requirements:** These priorities and objectives should be used as a starting point to determine the scope, structure, services and skills in the BIT. Preliminary requirements have been gathered as part of the AgCSS Project and should be leveraged to enable a BIT implementation.



**IMPLEMENT ORGANIZATIONAL ALIGNMENT**

	<ul style="list-style-type: none"> <li>▪ <b>Create Implementation Plan.</b> The plan should be structured in incremental steps in order to start small and build slowly.</li> </ul> <p><b>Phase 3: Execution</b></p> <ul style="list-style-type: none"> <li>▪ <b>Implementation:</b> A phased approach should be used to implement the BIT. The scope of the BIT will be expanded as each business subject area is deployed.</li> </ul> <p><b>Phase 4: Operation and Enhancement</b></p> <ul style="list-style-type: none"> <li>▪ <b>Monitor Results:</b> Once the BIT is operational, it will be important to monitor results and adjust the operational plan as needed. Depending on the scope of the BIT, FDACS may need to increase the knowledge base in some technical domain areas.</li> </ul>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b> In addition to the creation of the governance and management roles outlined above, the creation of the BIT will require a cultural change in FDACS as the organization shifts from individual islands of data to an enterprise business perspective. Some groups will have to mature their use of data. Change Management will be used to enable these changes.</p>
	<p><b>Process:</b> New processes and governance practices will be developed and recommended through the BIT, including:</p> <ul style="list-style-type: none"> <li>▪ Coordination and prioritization of information projects</li> <li>▪ Influence over the technology approach and structure</li> <li>▪ Implementation of new information sharing and best practices</li> </ul>
	<p><b>Technology:</b></p> <ul style="list-style-type: none"> <li>▪ The relationship between business and technology will change as business users take a more direct role in accessing and analyzing their data.</li> </ul>
<p><b>Solution Risks and Limitations</b></p>	<p>The success of the BIT depends on these critical success factors:</p> <ul style="list-style-type: none"> <li>▪ <b>Executive Involvement:</b> Internal organizational structure and processes will likely change in establishing the BIT team. The Executive Sponsor will be integral in enabling this change and enforcing the new BI processes and governance.</li> <li>▪ <b>Collaboration:</b> The BIT initiative should focus on improving the mutual understanding and collaboration between the business and IT, as well as among the divisions and offices.</li> <li>▪ <b>Culture Change:</b> Changing internal culture and knowledge mechanisms is a slow process. This ongoing process will provide significant benefits in the long term.</li> <li>▪ <b>Clear Roles and Responsibilities:</b> Identification of objectives, roles, and responsibilities for the BIT is a fundamental</li> </ul>



### IMPLEMENT ORGANIZATIONAL ALIGNMENT

requirement. It is important to avoid vague definitions in order to avoid duplication of efforts with other IT and business units.

- **Support of Varying BI Maturity Levels:** The various divisions and offices will likely be at different maturity levels in their use of business intelligence in decision-making and formulating strategic directions. The BIT should be structured in a way that it can respond to different requirements based on the level of BI maturity in each division and office.

### Exhibit 16: Features of Organizational Alignment Implementation

## 5.5 STREAMLINE DATA SECURITY SOLUTION

The Streamline Data Security Solution is focused on simplifying the process to access data from a security perspective. This solution focuses on the “To-Be” architecture and includes the processes and guidelines that will need to be established such as the FDACS Business Intelligence (BI) and Enterprise Warehouse (EW) security guidelines. It should be noted that security access to the current applications and reports is at multiple levels and is very complex. The future Enterprise Solution will likely introduce a streamlined security approach. This new approach should also take the underlying databases into account. The enterprise data is typically divided into Online Transactional Processing (OLTP) and Online Analytical processing (OLAP) environments. In general we can assume that OLTP systems provide source data to data warehouses, whereas OLAP systems help to analyze it. Both types of environments have different types of security requirements. The following paragraphs provide examples of the need and application of streamlined data security.

Appropriate access to reports and information is critical for business users to analyze information and make appropriate business decisions. Streamlining data security across the FDACS enterprise for the chosen Business Intelligence (BI) tools and providing access to the data which these tools are connected (e.g., the Enterprise Warehouse) is an important solution to deploy.

Within this solution, data can be ‘read only,’ which maintains document integrity and security, yet allows the information to be readily available to business users. For example, during interviews with department employees, several individuals mentioned they would like to have access to information from other divisions and offices to determine how peers handle various situations and gain insights in to other successful business practices. In this scenario, unless restricted for specific reasons, the data would be made available across the department in ‘read only’ format.

It is important to note that the appropriate restrictions be placed on data that should not be shared at all. Examples of restricted access data include:

- Personal Identifiable Information (PII)



- Sensitive HR information such as social security numbers

In this solution, business owners and data stewards will decide who should have access to what data within the BI tools and Enterprise Warehouse. Further “Role Based” security is recommended for implementing security as part of this solution..=

The introduction of streamlined data security will occur as part of the iterative rollout of the Enterprise Solution; however, the project team recommends the creation of FDACS BI Security Guidelines to provide a framework for security within the BI tools. The FDACS BI Security Guidelines should be created early in the next phase of the AgCSS Project and be updated over time as technology is selected and the BI/EW environment is established.

The table below outlines the key features of the proposed solution.

<b>STREAMLINE DATA SECURITY</b>	
<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>▪ Provides easy access to information required for making critical business decisions.</li> <li>▪ Eliminates need to sign on to multiple applications to access information.</li> <li>▪ Allows for information sharing across the enterprise for best practices.</li> <li>▪ Promotes a collaborative work environment across the department.</li> <li>▪ Reduces time spent looking for people with proper security access to the information.</li> </ul>
<b>Solution Requirements</b>	<p><b>Project Effort/Duration:</b></p> <ul style="list-style-type: none"> <li>▪ FDACS BI Security Guidelines development should require approximately one month.</li> <li>▪ BI Security implementation should require approximately three months per iteration across multiple iterations.</li> <li>▪ BI Security Guidelines maintenance and care will be ongoing.</li> </ul> <p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> Data Stewards, Security, and Business Personnel will be needed to initially create the FDACS BI Security Guidelines and then to maintain those guidelines over time.</li> <li>▪ <b>External (Vendors):</b> External vendors knowledgeable of the chosen technologies will need to be involved to initially apply the BI Security Guidelines into the selected technologies. Over time, this can be handled by internal resources.</li> </ul> <p><b>Hardware Required:</b> Hardware will be determined by selected BI tools and the security infrastructure required by those tools.</p>



**STREAMLINE DATA SECURITY**

	<p><b>Software Required:</b> Security is often built into the BI tools; therefore software will be driven by the selected BI tools and the security infrastructure required by those tools.</p> <p><b>Key Activities/Tasks:</b></p> <ul style="list-style-type: none"> <li>▪ Create BI Security Guidelines.</li> <li>▪ Ensure BI Security Guidelines are available within the selected technologies (Database, ETL, Reporting, etc.).</li> <li>▪ Implement security as outlined in the BI Security Guidelines Framework as part of the iterative rollout of reporting solutions.</li> </ul>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b> In general, users will need to adhere to new guidelines and this will provide broader access to information for decision-making.</p>
	<p><b>Process:</b> BI Security Guidelines will have to be created and then maintained.</p>
	<p><b>Technology:</b> BI tools with embedded security should be purchased.</p>
<p><b>Solution Risks and Limitations</b></p>	<p>Getting broader buy-in from business and application owners to share their information more openly will need to be managed, as some groups may be resistant to sharing their data across the enterprise.</p>

**Exhibit 17: Features of Streamlining Data Security**

**5.6 ESTABLISH DATA AWARENESS**

An Enterprise Solution will provide increased availability to enterprise data. Some will be new data, but there will also be existing data of which few or no end users are aware. Users need to have a way of finding out what data is available, where the data is located, and characteristics about that data. This solution provides improved information about what data is available within the FDACS environment and where it can be found. Additionally, it includes the key concept of metadata, which is information about data, and will allow an improved way for business and technical metadata to be stored as well as an easier way for the business users to access this metadata.

A metadata tool should make it easier to locate data and the corresponding data definitions. For the AgCSS Project, the recommendation would be to use the metadata repository within Informatica. This tool supports data dictionary-like capabilities and integrates well with other enterprise information management tools (e.g., ETL tools). Data Stewards will need to take an active role in populating data information within their given business subject areas.

Metadata tools provide an interactive web-based business catalog where users create, manage, and share an enterprise vocabulary and classification system. They also help users understand the business meaning of their assets. In addition, users can run queries, search,





browse, or establish asset collections and run lineage reports. Some of the capabilities in this area would include the ability to:

- Trace lineage of data fields
- Understand history of changes to data field definitions
- Enable data description “fly overs” in reporting tools
- Integrate with ETL tools to minimize mistakes caused by manual entry and to accelerate development of the ETL capabilities
- Raise confidence in reporting and data

Regardless of the tool selected, there are a common set of industry best practices that describe the activities, roles, procedures, and standards required to establish an awareness of the available FDACS data. The following information is based on industry metadata best practices from North Highland, Informatica, and IBM.<sup>4</sup>

### ESTABLISH DATA AWARENESS

<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>▪ Provides improved capabilities for accessing and searching for business data definitions.</li> <li>▪ Supports sharing of data definitions with enterprise related tools (e.g., data extracts, transforms and loads).</li> </ul>
<b>Solution Requirements</b>	<p><b>Project Effort/Duration:</b> The initial acquisition and configuration would coincide with the other AgCSS solution tools. This would be followed by a series of deployments that incrementally build and release metadata based on business subject areas.</p> <p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> Existing Data Analyst team, Data Stewards, BIT and other members of the stakeholder communities.</li> <li>▪ <b>External (Vendors):</b> Minimal</li> </ul> <p><b>Hardware Required:</b> Assume current hardware can be used.</p> <p><b>Software Required:</b> This solution could leverage the metadata management tool used during data profiling.</p> <p><b>Key Activities/Tasks:</b></p> <ul style="list-style-type: none"> <li>▪ Data Analyst and data governance teams will assist with tool planning.</li> <li>▪ If a new data profiling tool is chosen, the Data Analyst team will need to rerun the enterprise extract to populate metadata - existing</li> </ul>

<sup>4</sup> IBM. (n.d.). Metadata Management with IBM InfoSphere Information Server. Retrieved June 23, 2015, from <http://www.redbooks.ibm.com/abstracts/sg247939.html?Open>



**ESTABLISH DATA AWARENESS**

	<ul style="list-style-type: none"> <li>▪ Data Stewards capture FDACS data vocabulary and information related to its creation, processing, and use.</li> <li>▪ Data Stewards provide training on the standards, conventions, and processes related to business glossary development, use, and maintenance.</li> <li>▪ Data Stewards are responsible for the integrity and accuracy of the sections of the business glossary assigned to them.</li> </ul>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b></p> <p>The following teams are used to collect, create, and administer metadata:</p> <ul style="list-style-type: none"> <li>▪ Data Stewards and Data Custodians are the primary managers of the metadata.</li> <li>▪ A Metadata Administrator will be required. This role would be staffed by the current Informatica Metadata Administrator but this person will need to be trained on the new tool and procedures.</li> <li>▪ The Business Intelligence Teams and other stakeholders will need to provide updates as data definitions change.</li> </ul>
	<p><b>Process:</b></p> <p>Standards, policies, and procedures are the backbone of a metadata governance program. The following will need to be defined:</p> <ul style="list-style-type: none"> <li>▪ Data standards</li> <li>▪ Naming standards, abbreviations, and codes</li> </ul>
	<p><b>Technology:</b> This tool is expected to be part of a new enterprise information management suite.</p>
<p><b>Solution Risks and Limitations</b></p>	<p>This will require funding to adequately enable purchase of tools and training to support business use.</p>

**Exhibit 18: Features of Establishing Data Awareness**

**5.7 DATA SYNCHRONIZATION**

Data will need to be migrated from application “source” systems into the Enterprise Data Solution. This typically involves an underlying data warehouse to support standard reporting, ad hoc querying, dashboards, scorecards, and trending analysis. There will be other situations where data will need to be synchronized across the new Enterprise Solution and legacy applications. This section focuses on moving and synchronizing the data between different environments and making sure the data is of the highest quality and available for reporting. It



will improve capabilities for moving data within the organization (e.g., to the Enterprise Warehouse and Departmental Data Marts) as well as bringing in data from external sources..

FDACS is experiencing several challenges with the movement and synchronization of data across the enterprise. There is currently a heavy reliance on individual homegrown utilities that sometimes fail to adequately address complex synchronization requirements. This results in data inconsistencies between the divisions and offices and the Enterprise Warehouse. These isolated utilities also limit the ability to reuse validation and data cleansing rules. FDACS's federated data structure also greatly increases the complexity of data movement and synchronization. These factors all contribute to the need for more sophisticated data extraction, transformation (e.g., cleansing and reformatting), and loads.

The move and synchronize approach involves implementing ETL tools and processes to improve data movement and synchronization across the department. ETL processes are the backbone of data integration across departmental environments. Today FDACS uses a wide variety of tools and custom programs to perform this key function. If pursued over the long term, this may result in a collection of disparate ETL processes that are challenging and costly to maintain. As discussed in more detail below, metadata sources, targets, transformations, and operational statistics become increasingly difficult to capture as new tools and approaches are added to the environment. A widely accepted best practice is to leverage a single robust tool to manage all ETL processes.

Using a single extensible ETL tool will both minimize FDACS's costs and maximize efficiencies. The following processes and best practices will need to be followed in order to realize the benefits and efficiencies of the tool:

- **Data Extraction from Source Systems:** In the architecture future state, it is recommended that source data be extracted with the ETL tool using a "pull" extraction method. This method provides better control of the schedule and frequency of source data extraction, ensuring business requirements are met and providing timely, accurate data.
- **Extracts Requirements:** Much of the information required to build extracts will be discoverable by the ETL tool or harvested from existing tools. Types of required information includes:
  - > Record format and content of the source system extract
  - > Location where data will be loaded
  - > Schedule for source system extract
- **Loading to Data Warehouse:** Extracted data from the source systems will be loaded by the ETL tool where possible. Transformation rules including business rules, data quality rules and integration logic should be applied.
- **Loading data into the Enterprise Data Warehouse:** Data extracted from the source systems and loaded into the applicable Enterprise Solution should have defined



transformation rules including business rules, data quality rules and integration logic applied.

For all ETL processes described above, the information integration suite should generate log files to provide for audit, balancing, control and reconciliation purposes to meet FDACS's compliance requirements.

The table below outlines the key features of the proposed solution.

<b>MOVE AND SYNCHRONIZE DATA</b>	
<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>▪ Reusability of ETL assets such as validation and error correction scripts reduces maintenance costs and improves operational efficiency.</li> <li>▪ Simplified setup and installation.</li> </ul>
<b>Solution Requirements</b>	<p><b>Project Effort/Duration:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Tool Acquisition:</b> An ETL tool should be acquired to complement FDACS's overall enterprise information strategy.</li> <li>▪ <b>Implementation:</b> The implementation effort and duration will vary depending on the tool chosen but, at a minimum, the new ETL should support the following requirements:               <ul style="list-style-type: none"> <li>&gt; Create a one-stop-shop that would compile data and make it accessible data from the Enterprise Warehouse. The ETL tool should also be able to match up information from multiple sources. ETL work that has already been done on the existing data profiles can be used to "jump start" the creation of a data one-stop-shop. For example, there are already several data cleansing scripts that are used to cleanse data as it is moved into the Enterprise Solution.</li> </ul> </li> </ul> <p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> Data Analysts will need to configure ETL capabilities.</li> <li>▪ <b>External (Vendors):</b> System Integrator support will be required to map the legacy data into the Enterprise Solution.</li> </ul> <p><b>Hardware Required:</b> Additional servers may be required.</p> <p><b>Software Required:</b> ETL tools, preferably part of an information management suite.</p> <p><b>Key Activities/Tasks:</b></p> <p>The configuration of this solution should be done incrementally based on FDACS business subject areas.</p>



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## MOVE AND SYNCHRONIZE DATA

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- **Identify:**
  - > Analyze ETL requirements associated with existing ETL activities and any additional requirements associated with the data one-stop-shop (e.g., adding matching identifiers and search criteria).
  - > Develop a strategic approach for addressing data movement and synchronization challenges.
- **Strategic Planning:**
  - > Define scope of data for each business subject area within the Enterprise Solution.
  - > Document subject area risks.
  - > Create a detailed business subject plan and project blueprint. These deliverables document project parameters, end states, network topology, data architecture, and hardware/software specifications.
  - > Define communication plan.
- **Startup:**
  - > Document process for installation and configuration of ETL components.
- **Analysis:**
  - > Analyze the content, structure, and quality of data sources.
- **Build:**
  - > Establish standards and templates for the design and development of ETL jobs based on FDACS's environment, business, and technical requirements.
  - > Create processes for the design and development of data standardization, matching and survivorship.
  - > Define the data quality strategy to ensure ongoing confidence in data accuracy, consistency and identification.
- **Test and Implement:**
  - > Integrate ETL tool into FDACS's existing production infrastructure (monitoring, scheduling, auditing/logging, change management).
- **Monitor and refine:**
  - > Administer, manage and operate ETL environments.



**MOVE AND SYNCHRONIZE DATA**

<b>Organizational Impacts</b>	<b>People:</b> Individuals currently associated with ETL activities will need to be trained on new tools.
	<b>Process:</b> Current ETL jobs may need to be adjusted to take advantage of new ETL efficiencies.
	<b>Technology:</b> Initially these tools should be used to populate the new Enterprise Solution. These core capabilities may eventually be extended to support capabilities such as the legacy interfaces.
<b>Solution Risks and Limitations</b>	ETL logic is currently distributed across several tools. This may cause portions of validation data cleansing, and data matching rules to be lost.

**Exhibit 19: Features of Data Movement and Synchronization**

**5.8 ENABLE DATA CONSISTENCY AND ACCOUNTABILITY**

This solution covers areas required to validate that data migrated to the Enterprise Solution, has come from the proper source, is accurate, and is dependable. This has a large impact on the business users who access the information and use it to make decisions on a daily basis. The core reason for this solution is that often times there is more than one application to store a given piece of information. In many instances, this information is not the same which leads to questions about where to go to get the single source of the truth. This solution will encompass repeatable sets of business rules that define the value, content, and structure of specific data and data attributes. Similar solutions, often referred to as Analytical Master Data Management, enable consistent use of data with systems within a given scope of an organization.

The recommended approach focuses on instituting Master Data Management (MDM) at the department. In particular, the project team recommends utilizing Analytical MDM that focuses on ensuring the “single source of truth” for data presented in an Enterprise Warehouse that supplies the data for a business intelligence (BI) solution. Employing this approach ensures the highest quality of information possible. For example, if multiple source applications have a particular field, such as “project description,” the MDM solution helps ensure the most accurate source of “project description” is used for populating the EW. The decision for determining the most accurate source of information includes working closely with the business owners and data stewards to identify this level of detail. Once the most accurate source is identified, rules are set within the MDM tool to ensure that the correct data is used for populating the Enterprise Solution. This will help to ensure that data stored in the Enterprise Solution, and accessed by business users, comes from the proper source and is consistent, repeatable, and reliable.

The table below outlines the key features of the proposed solution.

**ENABLE DATA CONSISTENCY AND ACCOUNTABILITY**

<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>FDACS’s business community will have access to the most accurate information available from the source applications.</li> </ul>
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**ENABLE DATA CONSISTENCY AND ACCOUNTABILITY**

	<ul style="list-style-type: none"> <li>▪ The MDM solution will help ensure the right information is provided within the Enterprise Solution when data is entered in multiple application locations.</li> <li>▪ Data use across the organization will be consistent due to the “single source of truth.”</li> </ul>
<p><b>Solution Requirements</b></p>	<p><b>Project Effort/Duration:</b></p> <p>Implementation should last approximately three months per iteration, across multiple iterations.</p>
	<p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> <ul style="list-style-type: none"> <li>&gt; Input for tool selection will require Data Stewards, Data Custodians, Business Analysts, and business owners to provide input on requirements for the MDM tool selection and then for each of the Metadata Management development iterations.</li> <li>&gt; Data Stewards shall provide input on requirements for the Metadata Management tool selection.</li> <li>&gt; Any FDACS developers involved will need training on the MDM tool being implemented.</li> </ul> </li> <li>▪ <b>External (Vendors):</b> External vendor(s) will potentially be needed for installation of software and/or for specific MDM development activities.</li> </ul>
	<p><b>Hardware Required:</b> New hardware may be required based on selected vendor software.</p>
	<p><b>Software Required:</b> The current ETL software may be used to satisfy this need.</p>
	<p><b>Key Activities/Tasks:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Implement Governance of MDM :</b> <ol style="list-style-type: none"> <li>1. Secure Executive Management Commitment and Sponsorship</li> <li>2. Identify Responsible Managers and Key Resources</li> <li>3. Start Awareness Programs</li> <li>4. Create Management Processes &amp; Documentation</li> <li>5. Manage Training and Communication Programs</li> <li>6. Implement and Operate</li> </ol> </li> </ul>



**ENABLE DATA CONSISTENCY AND ACCOUNTABILITY**

	<ul style="list-style-type: none"> <li>7. Conduct Internal Audit and Management Review</li> <li>8. Commit to Continual Improvement</li> <li>▪ <b>Implement MDM Tools:</b> The key activities/tasks required for this portion of the solution include:             <ul style="list-style-type: none"> <li>1. Envision</li> <li>2. Analyze – Architecture and Design</li> <li>3. Build – Develop and Deploy</li> <li>4. Confirm and Grow</li> </ul> </li> </ul>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b> Business users will have more accurate and dependable information for decision-making process.</p>
	<p><b>Process:</b> The primary change is that the data will be pulled from the Enterprise Warehouse instead of the originating application databases. This solution helps create a one-stop-shop for accessing information.</p>
	<p><b>Technology:</b> New data environments will have to be configured.</p>
<p><b>Solution Risks and Limitations</b></p>	<ul style="list-style-type: none"> <li>▪ There may be conflicting data definitions in various applications and tools that describe the same data.</li> <li>▪ Enterprise data standards cannot be tracked and used unless there are agreed upon definitions and enforcement.</li> <li>▪ Getting agreement on master data may be challenging. There may be certain fields on which agreement is difficult and almost impossible to reach.</li> </ul>

**Exhibit 20: Features of Enabling Data Consistency and Accountability**

**5.9 INSTITUTE ENHANCED REPORTING CAPABILITIES**

As data is cleaned, stored, and made available within the Enterprise Solution, the end user needs to have an easy way to access that information. The current approach within the department consists of directly accessing the applications and running certain pre-defined reports. The users have a need to simply and easily access the information locked away within FDACS applications. This solution focuses on implementing enhanced reporting capabilities (Standard Reporting, Dashboards, Scorecards, Portals, Self-Service, Big Data, Predictive Analytics, Ad hoc, etc.) to enable broader access to data. As part of the requirements for these tools, considerations should also be given to mobile access to information.

The Implement Enhanced Reporting Capabilities solution outlines capabilities that will convert data from the Enterprise Warehouse, or operational systems into useful information and knowledge via reporting tools such as Business Query, Dashboards/Scorecards,





Analytics/Predictive, Production/Formatted, and Online Analytical Processing (OLAP)/Mining, etc.

This solution consists of two primary implementation components:

1. Selection of reporting tool(s)/technologies that will enable the desired reporting.
2. Implementation of reporting tools by leveraging an iterative “phased” approach that will provide new enhanced reporting capabilities to the business users.

The exhibit below provides an overview of the types of Business Intelligence Tool categories and modules that should be considered as part of this reporting, analytics, and insights solution.

<b>BI TOOL CATEGORY/ MODULE</b>	<b>DEFINITION</b>
<b>Dashboards/ Scorecards</b>	Dashboards and scorecards provide a quick glance view of Key Performance Indicators (KPIs) relevant to a particular business process. They provide visuals to easily monitor key components of the business. Some dashboards provide the ability to drill through the top-level information into supporting data. Dashboards are typically intended to demonstrate operational activities whereas scorecards are typically focused on strategic analysis.
<b>Self-Service BI/ Business Query</b>	The self-service approach allows end users or business power users to investigate data in the Enterprise Warehouse or data marts and create personalized reports and analytical queries. This approach allows the IT team to focus on other tasks, such as making more data available within the Enterprise Warehouse/data marts. Typically, access is to a data source that has been modeled for easy access and contains metadata to make the data easier to understand.
<b>Production Reporting (from Enterprise Warehouse or Data Mart)</b>	Production Reporting is a report created from the Enterprise Warehouse or data mart typically built by super users or business owners and run on a recurring basis. In some cases, reports built via Self-Service BI/Business Query can be set up as recurring Production Reporting.
<b>OLAP Reporting</b>	Online Analytical Processing uses multi-dimensional capabilities and queries to quickly analyze information. The data in these solutions is typically pre-aggregated and allows for faster drill-down.
<b>Statistical &amp; Predictive (Big Data) Analytics</b>	Statistical & Predictive Analytics consist of analyzing large amounts of information to identify patterns to predict future outcomes, trends, and behaviors. The term big data analytics is used here because of the large volumes of data often used. Typical components include what-if scenarios, models, and algorithms to forecast what might happen in the future.
<b>Operational Reporting</b>	Although not the primary focus of this solution, operational reports are typically run from one application and provide “real time” data.



BI TOOL CATEGORY/ MODULE	DEFINITION
	These reports can slow application performance when the reports run.

**Exhibit 21: BI Tool Categories**

The table below outlines the key features of the proposed solution.

<b>INSTITUTE ENHANCED REPORTING CAPABILITIES</b>	
<b>Solution Benefits</b>	<ul style="list-style-type: none"> <li>▪ Delivers a quick, unified view of all critical decision-making information for the Enterprise Solution divisions and offices.</li> <li>▪ Allows business resources to focus on analysis rather than "finding the data" by reducing administrative tasks.</li> <li>▪ Enables business users to do "self-service" reporting, eliminating the burden on IT for unique report creation.</li> <li>▪ Facilitates decision-making due to simplified and timely access to information.</li> <li>▪ Provides interactive reports to allow for ad hoc capabilities, also known as "what if" reporting, and the ability to do detailed drill-down and drill-across data analysis.</li> <li>▪ Improves efficiency of IT Operations by reducing need for IT staff support for all new reports.</li> <li>▪ Eliminates the significant amount of manually created Excel spreadsheets and other local "one-off" solutions required to save historical information and provide custom reporting.</li> <li>▪ Uses accurate data to provide better data insights for trending analysis.</li> <li>▪ Leverages a "single source of the truth" for data that users can easily access.</li> <li>▪ Helps to streamline, simplify, and enforce reporting security.</li> </ul>
<b>Solution Requirements</b>	<p><b>Project Effort/Duration:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Tool Selection:</b> Approximately six months, including procurement, per unique tool classification.</li> <li>▪ <b>Implementation:</b> Approximately three months per iteration across multiple iterations.</li> </ul>



**INSTITUTE ENHANCED REPORTING CAPABILITIES**

	<p><b>Resources Required:</b></p> <ul style="list-style-type: none"> <li>▪ <b>Internal (FDACS):</b> <ul style="list-style-type: none"> <li>&gt; Data Stewards, IT and business owners will need to provide input on requirements for reporting tool selection and for each of the reporting development iterations.</li> <li>&gt; End Users and IT will need training in the new reporting tool.</li> </ul> </li> <li>▪ <b>External (Vendors):</b> External vendor(s) will potentially be needed for installation of software and/or for specific report development.</li> </ul> <hr/> <p><b>Hardware Required:</b> New hardware may be required depending on the software selected.</p> <hr/> <p><b>Software Required:</b> New software as identified in the tool selection process.</p> <hr/> <p><b>Key Activities/Tasks:</b>  <b>Implement reporting tools:</b> The iterative approach to tool implementation outlined in the Solution Management section should be followed when implementing the reporting tool.</p>
<p><b>Organizational Impacts</b></p>	<p><b>People:</b> Business users will have better access to data to support decision-making.</p> <hr/> <p><b>Process:</b> This solution represents a change from accessing data directly from the Operational Systems to an Enterprise Solution “one-stop-shop” approach to accessing information.</p> <hr/> <p><b>Technology:</b> New software will have to be selected, acquired, and installed.</p>
<p><b>Solution Risks and Limitations</b></p>	<ul style="list-style-type: none"> <li>▪ Active management of expectations will be required to ensure the tool meets the expectations of business stakeholders.</li> <li>▪ Active management of the adoption of the new tool and capabilities will be required.</li> <li>▪ Training for IT and development teams will be required.</li> </ul>

**Exhibit 22: Features of Instituting Enhanced Reporting Capabilities**

There are a number of different types of BI and analysis tools available. It is unlikely that any single reporting tool will meet the needs of all communities. Data scientists with complex needs may be best served by advanced analytical tools, while other FDACS business users may find streamlined analytical reporting more applicable. These tools often provide the ability to look at data from many different perspectives.

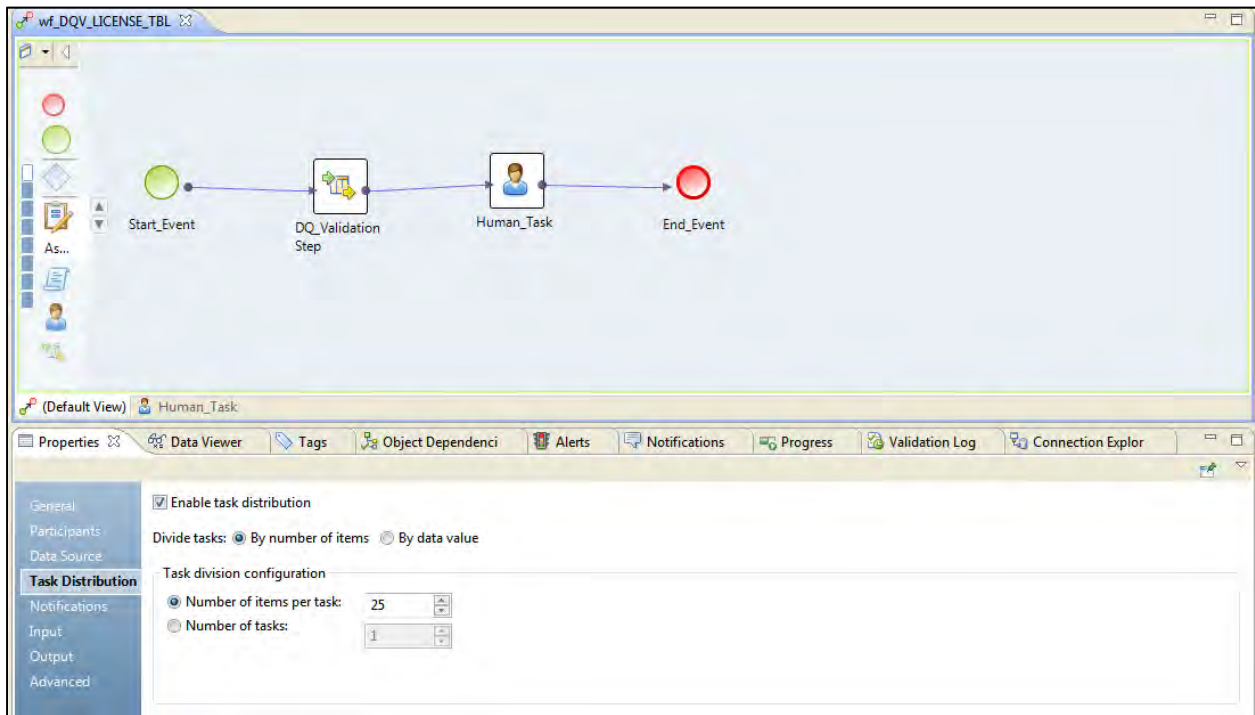


## Section 6 APPENDIX

### 6.1 MAPPING WITH EXCEPTION WORKFLOWS

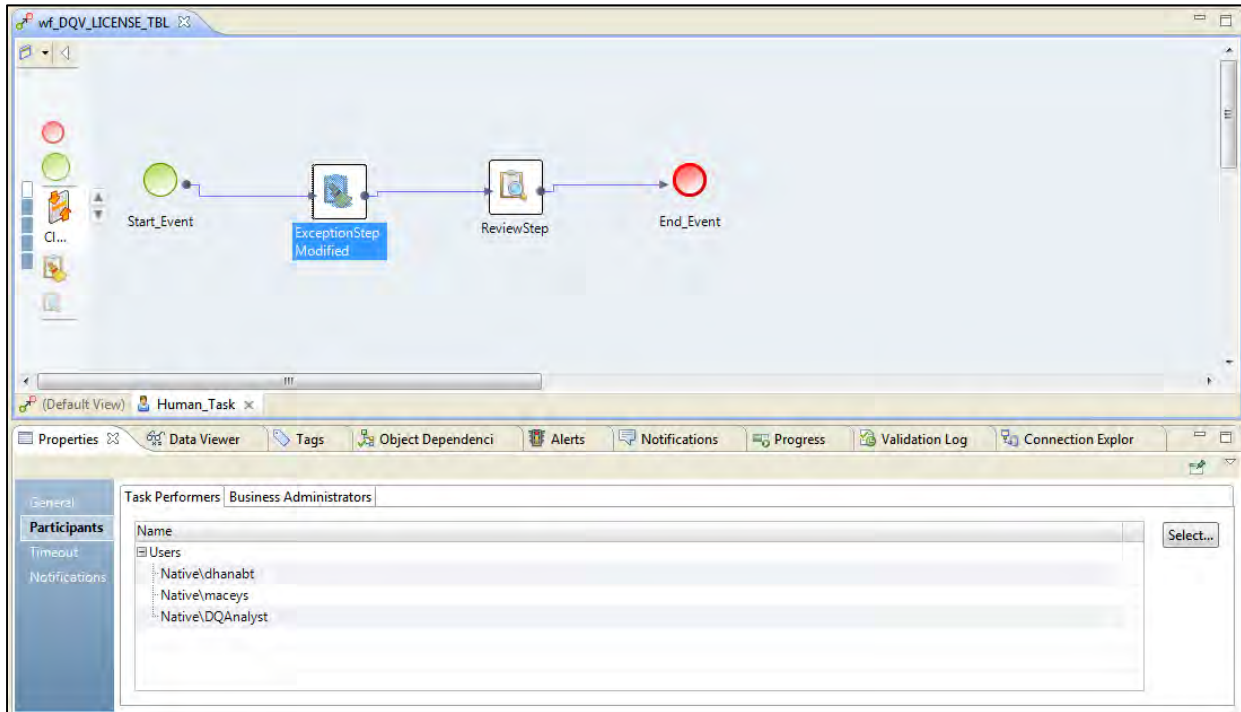
This appendix shows an example of how workflows could be defined to help streamline the manual validation of data. Ideally human intervention will be minimized to enable increased data quality and help accelerate the migration process. Workflows should be monitored to refine validation rules to possibly eliminate the need for human intervention.

IDQ Workflow Mapping with Human Task automation.



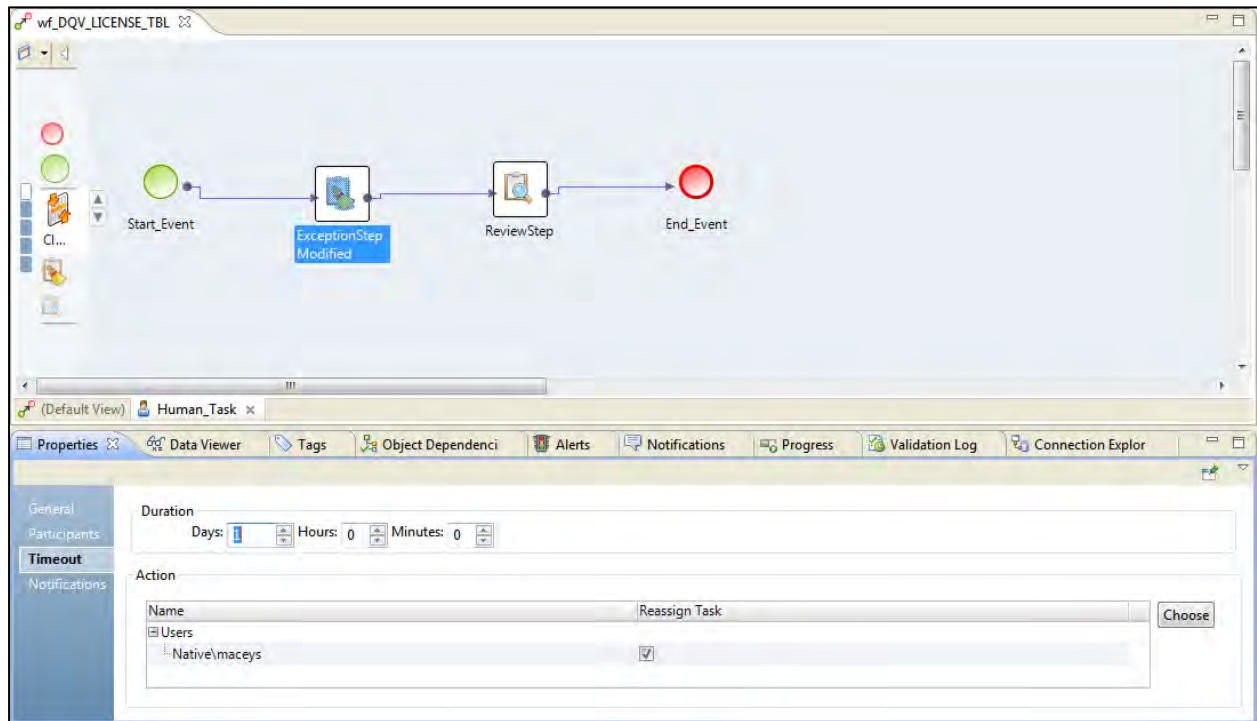
**Exhibit 23: IDQ Workflow Mapping with Human Task Automation. 1**

**Note:** Above screen displays how the Data Exceptions can be distributed via automated emails either based on number of exceptions (or) by a data value like for example, all exceptions originated from a specific Office are routed to the email contact of the corresponding contact for the office.



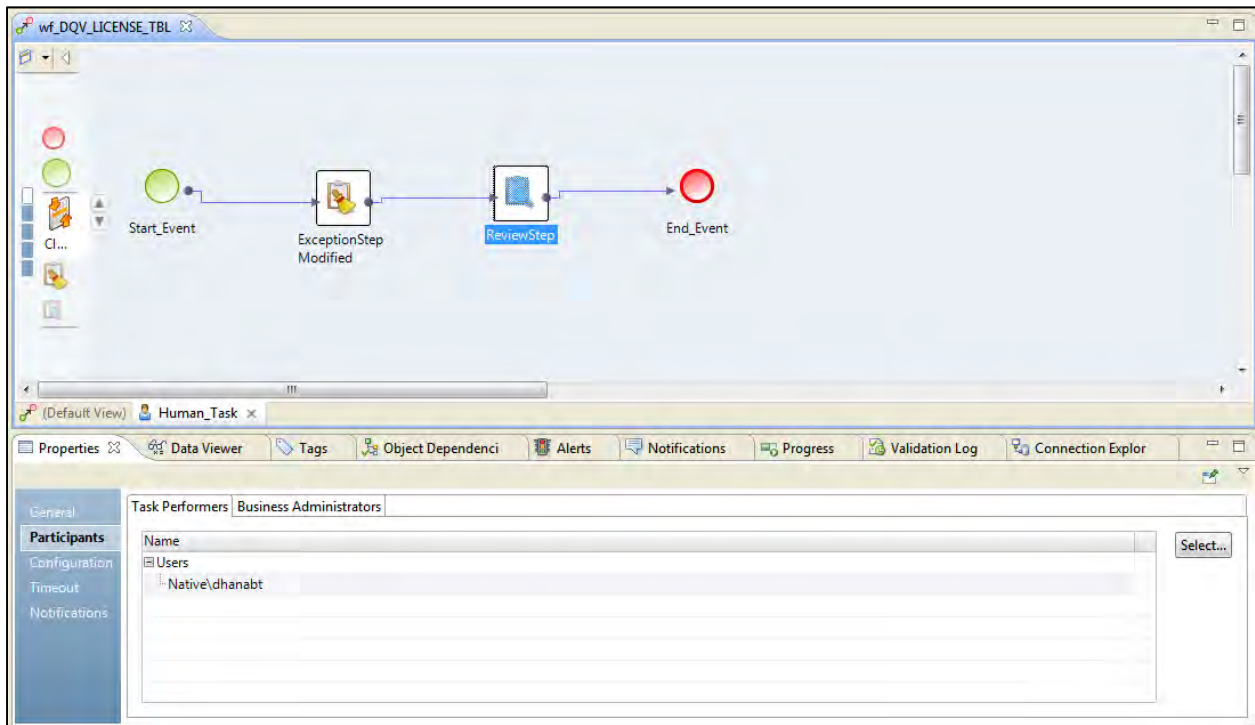
**Exhibit 24: IDQ Workflow Mapping with Human Task Automation. 2**

**Note:** Above screen displays, the Data Stewards who will be assigned the data exception for verification and validation.



**Exhibit 25: IDQ Workflow Mapping with Human Task Automation. 3**

**Note:** Above screen displays, the timeout period after which the data exceptions will be reassigned to other users.



**Exhibit 26: IDQ Workflow Mapping with Human Task Automation. 4**

**Note:** Above screen displays, the reviewers who will be assigned the data exceptions approved by Data Stewards.

## SECTION 7 APPENDIX LINK TO MASTER REGULATORY SYSTEMS AND PROGRAMS

Data Conversion and Migration Plan

[D5A-Workforce Transition Analysis \(WTA\)](#)

[Survey Results](#)

[AqCSS Glossary](#)

[Sample Data Governance Plan](#)

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**AgCSS PRE-DDI PROJECT**

***DATA CONVERSION AND MIGRATION PLAN***

Date: 07/14/2016  
Version: 200





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**Revision History**

DATE	AUTHOR	VERSION	CHANGE REFERENCE
01/22/2016	North Highland	001	Initial internal North Highland review
1/28/2016	FDACS	002	FDACS Review
2/5/2016	North Highland	003	Final Version
2/8/2016	FDACS	003	Additional review after remediation by NH
2/11/2016	North Highland	100	Baseline
7/14/2017	Charles Coldwell	200	Update timeline to match the new DDI high-level schedule for release 1 from the SOW and rebranding

**Quality Review**

NAME	ROLE	DATE

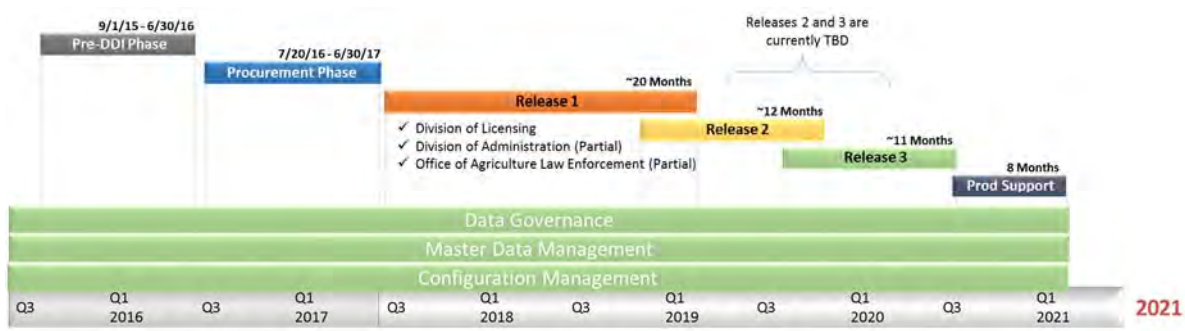


## Section 1 OVERVIEW

This document describes the factors and strategies FDACS will need to consider as it migrates to an enterprise solution. This document will cover both application and data migration.<sup>1</sup> This document will also use information from the FDACS enterprise assessment to provide FDACS specific data conversion and preparation recommendations. Many of these recommendations should be started prior to the actual enterprise solution implementation. This document should help reduce risk, duration, and cost of the overall AGCSS migration effort.

There are several data factors to consider during the implementation of an enterprise solution. Although the primary purpose of this document is to address the conversion and migration aspects of the FDACS enterprise implementation, a successful migration will not be possible without the prerequisite enterprise governance procedures such as how data will be standardized (e.g., data governance) and how essential data elements will be shared across the enterprise (master data management (MDM)). While these procedures are beyond the scope of this initial assessment, sample procedures will be included as an attachment in the “Application and Data Portfolio Assessment and Master Data Management Plan”. It is strongly recommended this information be considered as FDACS moves forward with its conversion and migration efforts.

### TIMELINE FOR CONVERSION AND MIGRATION



This timeline assumes the use of a Data Quality tool to analyze the content and structure of your data to prepare it for migration into an enterprise solution.

### 1.1 BACKGROUND

Much of the application related content will be found in SECTION 2 “MIGRATION CONFIGURATION MANAGEMENT”. From an application standpoint, a considerable number of AgCSS Business Process Analysis Workshops have been conducted in order to collect and

<sup>1</sup> Additional information on other data and application topics (e.g., governance, data quality, Master Data Management (MDM)) can be found in The Application and Data Portfolio Assessment and Master Data Management Plan.



document the functional and nonfunctional requirements. These requirements will be loaded into a requirements traceability matrix (RTM) as “planned” requirements. During the enterprise implementation, the system integrator should work with the FDACS team to extend the RTM to include how those requirements are satisfied by the new enterprise solution.

Data conversion and migration topics will be found throughout this document. The recommendations are based on a combination of migration best practices and on information taken from the results of data portfolio assessment. When creating a data migration approach, there are three fundamental pieces of information that are required: 1) where will the data be extracted from, 2) where will it be loaded into, and 3) what conversions or transformations will be required to get it in the right format. From a source perspective, North Highland used its data profiling tools to assess the existing legacy databases. The profiling tool was used to scan each of the AgCSS related databases across the FDACS enterprise to gather meta-data including models of the source data elements. Industry standard business rules were also used to identify potential data format conflicts. Data validation recommendations were also collected from data subject matter experts within various FDACS offices. These recommendations were used to extend the standard business rules for essential FDACS data elements. If FDACS continues to use this tool for the actual migration, the tool could be used to collect models of the target data and map the source to target relationships. If FDACS decides instead to write their own custom migrations, or use migration tools provided by the enterprise software vendor, various database utilities could be used to capture the required source and target definitions.

## 1.2 KEY OBJECTIVES AND BENEFITS

This document describes the key factors to consider as FDACS is preparing and performing data and code migrations to a new Enterprise solution. Other data code factors (e.g., data governance, data quality, and configuration management) are covered in the “The Application and Data Portfolio Assessment and Master Data Management Plan.”

### 1.2.1 DATA OVERVIEW

This document will describe the initial data conversion and migration steps for the AgCSS implementation. This plan will include a high level conversion plan to modify the existing legacy data into formats which will be required to move into the new Enterprise environments. This plan will also describe some of the factors which should be taken into account when synchronizing the migration of data and related application code (e.g., interfaces). Finally, we will provide examples of data preparation steps FDACS can begin to take immediately to accelerate the data conversion effort and reduce project risk.

Data conversion requires: extracting the source data, performing any required data transformations (e.g., reformatting to new format) and then loading data into the corresponding data element on the new system. Extracting the source involves building models of the existing data elements. In FDACS, the same type of data may be stored in multiple tables leading to consistency issues (e.g. bad contact information).



These models should include meta-data (information about data characteristics) such as table and column names, column formats, primary and foreign keys and business rules to drive validation and data load sequences.

### **1.2.2 APPLICATION OVERVIEW**

The exact details of the application migration will vary depending on the Enterprise tool selection and the application environment configuration. However, configuration management procedures will be required for whatever is selected. Although it is expected that most of the legacy code would be replaced by the Enterprise application, the Enterprise implementation is being rolled out incrementally. The Enterprise application will therefore need to coexist with certain legacy components. This will require a certain degree of configuration management across the legacy and Enterprise systems.

## **1.3 ASSUMPTIONS**

### **1.3.1 DATA ASSUMPTIONS:**

The FDACS DBAs will need to work in conjunction with the various data stewards and system integrators to refine existing data definition coordination processes. Ideally, enterprise data governance should be in place before the kickoff of the actual migration project. Data cleansing can be a time consuming process. While it is true that Enterprise migrations are a good impetus for driving enterprise consistency and data quality, not having these things resolved can impede the Enterprise migration. The assumption is that data consistency and cleansing efforts will begin well in advance of the Enterprise project and these efforts should be prioritized based on potential project risks.

### **1.3.2 APPLICATION ASSUMPTIONS:**

The System Integrator selected should be responsible for guiding the establishment of enterprise configuration management procedures for the initial project and for its incorporation into future enterprise projects. Although FDACS could work on creating this enterprise management framework, the system integrator should have an industry template and best practices which would accelerate this definition and result in a more refined solution. It is recommended that current resources be focused on efforts associated with gathering data validation rules rather than a full-fledged rewrite of the configuration management procedures.

## **Section 2 MIGRATION CONFIGURATION MANAGEMENT**

### **2.1 RECOMMENDED APPROACH FOR CONFIGURATION MANAGEMENT**

Configuration refers to the process of moving various solution components through development, testing and production environments. Configuration management is therefore an important migration consideration. Data and code both have configurations which need to be



moved into production in a synchronized fashion. From a data side, configurations refer to things such as promoting data and database structures. Various database utility jobs and interfaces must also be moved through the various development environments. From an application standpoint, Enterprise application code and configuration tables need to progress through the various testing environments and into production. Changes on one side often lead to changes in the other. For instance, if the application calculates a new field, that new field may also have to be added to the database. Those changes would also need to move together through the various environments, otherwise the application will not have a place to store the new information.

There are two basic approaches to configuration management: Linear and Branching. The linear approach uses a “single thread” to manage code changes. Think of doing an old fashion edit on a Word document in Share-point. One person checks the document out makes their changes and checks the document back in. If the components are small and restricted to one or two developers this approach can work. With larger components, or components which are reused by several developers, linear approach can cause delays while other people wait for the code to be checked in. A branching strategy uses something closer to a collaborative word document where several people can be working on separate portions of the code at the same time. This requires more sophisticated tools and procedures. In general, branching is the preferred strategy for managing the configuration of enterprise systems. The system integrator you select should articulate their configuration strategy as part of their plan based on their tool selection and staffing structure.

The goal of configuration management is to manage the promotion of solution components as they evolve from initial concepts to fully operational solutions. These components involve much more than the code. Test scripts, test data, security role definitions, documentation, and training aids are examples of materials which should fall under configuration management.

## 2.2 RECOMMENDED ENVIRONMENTS FOR MIGRATION

Applications, and their corresponding data, typically evolve through a series of application environments as the applications are developed tested and deployed. In effect, these environments are used to develop and deploy your enterprise applications.

There may be separate environments for: development, test, training, staging and production<sup>2</sup>. Each level of the development environment allows for progressive testing of an application code until it reaches the final stage of production. For example, a development environment would have its own application area which developers would use to write and test their initial code. The development environment would also have a corresponding database environment. After this initial unit testing is performed the components would be bundled together and promoted up to the next level for further testing and refinement. Database changes would be promoted as well. If any bugs are discovered these are typically fixed back down in the sandbox and the promotion process begins again. Some teams also decide to use a separate conversion. From a migration standpoint, FDACS may wish to consider creating a staging

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<sup>2</sup> Additional information on recommended development environments can be found in The Application and Data Portfolio Assessment and Master Data Management Plan.





environment to store data and components in preparation for migration cutover into production. A staging environment can be quickly switched into production at the appropriate time during the migration.

There are many factors which go into environment planning. How the team organized and what type of development and data tools will be used are factors to consider when determining the number and type of environments. How much tailoring will be done through configuration tables versus custom code should also be considered. Cloud based SAAS environments can greatly impact the environmental landscape by accelerating the provisioning of new environments. A cloud based approach also enables greater agility in responding to changing environmental needs which often occur during migration projects. Data migration tools, such as Informatica, can streamline populating and refreshing of data across multiple environments. The availability of cloud and data provisioning should be exploited to provide the AgCSS project with the speed and agility needed to establish and scale your environments.

There are several specific data conversion and migration factors which should be taken into consideration when setting up the various application environments. From a timing perspective, when will the data conversions occur and how much data will be staged? How many “Mock” cutovers will be performed and will they be provisioned? What environments will be needed for “fallback” or disaster recovery?

Another environmental factor to consider for migration is how application and data issues will be “triaged” during the critical cutover process. We recommend that a well thought out process for expediting changes up through the environments be established. It is much safer to have these procedures thought out and agreed to ahead of time, instead of waiting until a potentially chaotic point in the migration.

## Section 3 PROPOSED CONVERSION PLAN

### 3.1 CONVERSION STRATEGY

The exact list of data elements to be converted will be based on the data elements required in the enterprise solution. In some cases this may be a simple one-to-one migration of data elements. In other cases it will involve very sophisticated procedures for transforming data from several sources into several target elements. These conversions may be part of a one time migration or part of an ongoing interface that periodically synchronizes enterprise and legacy databases. In any case, conversion performance is very important from a business perspective. Basically, the longer it takes to convert the data, the longer it will take to migrate or synchronize the data. The two basic goals for conversion are to minimize the amount of data conversion overall, then to minimize the amount of conversion required during “black-out” (time when both the legacy and new Enterprise application are not available).

Minimizing the amount of data to be converted involves eliminating or archiving data that will not be required in the new system. For instance, tables may contain data which exceeds required retention thresholds. In many cases, legacy tables will contain columns which are not required in the new system, or not even used in the existing system. These rows and columns



are candidates for archiving or deletion. If data is archived, FDACS should also make sure there are ways to retrieve and process the archived data. Some organizations maintain copies of the legacy application to do this, but the preferred approach would be to use an ETL (Extract, Transform, and Load) or database access tool. Reducing the amount of data being converted will reduce the amount of time it takes to convert and load the data.

A second factor to consider is the timing of the actual conversion. Many migrations require a certain amount of time between when the legacy system is shut down and the new system becomes available. During this “blackout period”, all transactions are stopped in the legacy system, the data is migrated and validated, applications and interfaces are switched. Minimizing, or eliminating, the blackout period should be a goal of FDACS and your system integrator. One way to do this might be to convert, validate, and load some of the more stable data ahead of time. Code tables, which rarely require changes, would be one type of candidate for pre-conversion. With a grey-out strategy, portions of the legacy may shut down, or greatly restricted prior to migration. For example, users may be requested to hold all expenses until the system has successfully migrated. Emergency requests can be processed manually, or by buffering electronic requests for later processing. In either case, processing is slowed (grey-out) versus stopped (black-out). FDACS and their SI should strive for an approach which limits down time while safeguarding data integrity.

FDACS will only be migrating the AgCSS related portions of Administration and Licensing divisions during the initial project. In some cases, temporary interfaces and conversions may be required to support enterprise functionality and data which has not been migrated from the legacy systems. A few points to consider are:

- The number of temporary interfaces should be minimized because they tend to add costs without significant business benefits.
- They are supposed to be “throw-away code” which are used to bridge legacy and COTS systems. Although many of them are intended as short term solutions, several become permanent fixtures which must be supported and maintained.
- Future AgCSS migration projects should consider grouping deployments in ways which limit the creation of these temporary objects.

### 3.2 DOCUMENTATION OF PROPOSED DATA CONVERSIONS

The exact list of potential data conversions will be largely dependent on the selection of a target Enterprise solution, but there are several conversion scenarios FDACS should be aware of. In order to be loaded into the target system, the source data will need to be converted to the matching format. Any data gaps for mandatory target fields will also need to be populated. Data profiling can be used to capture information related to data formats and other helpful information such as the presence of nulls and column cardinality. The profiling tool used for this assessment automatically captured meta-data on FDACS enterprise data. This meta-data could also form the foundation of the source-target mapping required to extract and load the data. If the same type of profiling were performed on the future Enterprise database, this would populate a model of target databases. Business rules should be defined to address data quality and formatting issues which should be incorporated into the conversion process.



The following tasks should be repeated for each iteration of AgCSS.

**Profile Data:** Profiling reveals the content and structure of data. Profiling is a key step in any data project, as it can identify strengths and weaknesses in data and help you define a data cleansing plan. This step has been performed as part of the Pre-DDI phase.

**Generate Data Scorecards:** A scorecard is a graphical representation of the quality measurements in a profile. This step has been performed as part of the Pre-DDI phase.

**Standardize Data Formats and Values:** Use collected data profiles and scorecards to standardize data to remove errors and inconsistencies that you find when you run a profile. You can standardize variations in punctuation, formatting, and spelling. For example, you can ensure that the city, state, and ZIP code values are consistent. This activity should be performed by FDACS, begin during the time of the ITN process, and continue through the implementation.

**Parse Composite Fields:** Parsing reads a field composed of multiple values and creates a field for each value according to the type of information it contains. Parsing can also add information to records. For example, you can define a parsing operation to add units of measurement to product data. This activity should be performed by FDACS, begun during the time of the ITN process, and continue through the implementation.

**Validate Key Data Elements (Master Data Management):** Address validation evaluates and enhances the accuracy and deliverability of postal address data. Address validation corrects errors in addresses and completes partial addresses by comparing address records against address reference data from national postal carriers. This activity should be performed by FDACS, begun during the time of the ITN process, and continue through the implementation.

**Eliminate duplicate records:** Duplicate analysis calculates the degrees of similarity between records by comparing data from one or more fields in each record. Two types of duplicate analysis should be performed: field matching, which identifies similar or duplicate records, and identity matching, which identifies similar or duplicate identities in record data. This activity should be performed by FDACS, begun during the time of the ITN process, and continue through the implementation.

**Map Source to Target:** This mapping occurs during the initial stages of Release 1 and is performed for both the application and data areas. From an application perspective, a requirements traceability matrix should be used to formally map requirements to the corresponding target system components. In cases where requirements cannot be mapped to the source system, decisions on gap mitigation should be documented by the Enterprise Governance body. Any customization will require a substantial business case and budgetary approval.

From a data perspective mapping should be performed in the migration tool. An initial mapping of the enterprise source data was performed as part of data profiling. This information should be updated to reflect any changes to the source systems for this release. Once the target



system is identified, the target definitions will need to be captured and mapped to the source data elements. Data governance process will be required to resolve issues related to gaps and authoritative sources. Potential conversion and interfaces should also be identified.

**Design Conversions and Interfaces:** Create the appropriate design documents (e.g. an Interface Design Document (IDD) based on requirements and meta data gathered in the previous steps.

**Develop Conversions and Interfaces:** Configure conversions and interfaces leveraging migration tools where possible as opposed to custom code.

**Test Conversions and Interfaces:** Unit test conversions and interfaces. Mock migrations are used to test integrated code, procedures and timings associated with conversions and interfaces.

**Implement Convert, Migrate, and Validate Conversions and Interfaces:** This involves converting legacy data, validating data and referential sets, migrating data and code to production, deactivating appropriate legacy interfaces, and activating new interfaces for Release 1.

**Sustainment of Conversions, Interfaces, and Data:** Bug fixes and any necessary data cleanup.

### 3.3 INVENTORY OF DATA SYSTEMS TO BE MIGRATED

The following exhibit provides a listing of potential legacy AgCSS related FDACS schemas and databases. The enterprise system integrator will map these source data elements into the target data elements.<sup>3</sup>

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<sup>3</sup> A more detailed mapping of legacy RLMS databases to applications can be found in The Application and Data Portfolio Assessment and Master Data Management Plan.



Database Name	Schema Name	Database Size	Number of Tables	Server Name	Description
DOL	Licensing_db	23 GB	82	TLHDOLDB1	Division of Licensing database.
	Acorde EDMSConfig Process	219 GB 7.25 GB 60 GB	115 12 59	TLHDOLSQL11	Division of Licensing Imaging databases
DOA	REV	11.74 GB	73	ORAPROD1	Revenue Receipts Accounting System
DOA	EGC	7.12 GB	137	ORAPROD1	Ecommerce
DOA	ROC	30.23 GB	2	ORAPROD1	Revenue Online Collection
DOA	DACS	4.65 GB	123	ORAPROD1	Department level tables such as the data related to personnel, firms, and look-up tables used department wide.
DOA	FINL	0.17 GB	21	ORAPROD1	Final Order
DOA	CATS	0.98 GB	68	ORAPROD1	Contract Tracking System
DOA	AES_SUNTRACK	4.82 GB	246	ORAPROD1	Tracking licensing of pesticide applicators and dealers and commercial and household pest control operators.
DOA	ANIMAL	0.26 GB	37	ORAPROD1	Unknown
DOA	FAVR	9.09 GB	382	ORAPROD1	Fruit and Veg



DOA	LBL	0.20 GB	50	ORAPROD1	License and Bond
DOA	LPGAS	0.95 GB	500	ORAPROD1	Liquefied Petroleum Gas DB
DOA	POULTRY (PDA)	0.03 GB	56	ORAPROD1	Standardized Poultry Data
DOA	RTS	Unknown	Unknown	ORAPROD1	Registration Tracking system
DOA	FUMIGATION	Unknown	Unknown	ORAPROD1	Online Fumigation notices
DOA	CITRANET	Unknown	Unknown	ORAPROD1	BRIX ACID UNIT DATA COLLECTED
DOA	FRESHNET	Unknown	Unknown		Nightly uploads of manifest data from packing houses.
AGR	AGLAW	43.67 GB	58	ORAPROD1	Bill of Lading
AGR	EIS	15.60 GB	63	ORAPROD1	Enterprise Imaging Sys
AGR	CTIS - Within EIS Schema			ORAPROD1	Commerce Transportation
AGR	PITR	2.33 GB	135	ORAPROD1	Plant Industry Trust Revenue System
AGR	PPST	2.51 GB	109	ORAPROD1	Plant Pathology Specimen Tracking
DOCS	CSTRACK	639.16 GB	467	ORAPROD2	
LIMS	LABWORKS	36.82 GB	296	ORAPROD3	
MOBL	FIMS	51.57 GB	625	ORAPROD4	Food Inspection Management System
MOBL	FSLIMS	3.84 GB	425	ORAPROD4	Food Safety Laboratory



					Information Management System
DOFTE	FMIS	11.04 GB	524	ORADEVTEST	
EGIS	DPI_AGDATA	.96 GB	112	SUNGIS2	
	FFIL	.05 GB	14	SUNGIS2	
PICS	PICS	26.37 GB	331	ORAPROD1	
PICS	SDE	7.71 GB	133	ORAPROD1	
BMPTS2		1	22		AG Water Best Mgmt Practices
USALIMS	USALIMS	4.88	449		
USALIMS	Tracking	5.6	5		
USALIMS	Attachments	56	1		
USALIMS	Portal	0.5	73		
CBR					Citrus Budwood
RIMS					Dairy hauler inspection

**Exhibit 1: FDACS' Regulatory Databases and Schemas**

### 3.3.1 CONVERSIONS WITHIN INTERFACES

Interfaces are built to support data sharing between systems. In some cases interfaces might require logic to convert portions of the data to provide compatible formats or content. A list of legacy interfaces is supplied in the Interface Assessment and Implementation Plan. Ideally, conversion and validation logic would be managed in a central ETL repository and shared between conversions and interfaces.

## Section 4 MIGRATION DATA VALIDATION STRATEGY

Data validation is one of the most time consuming processes in migration. Mapping the data, identifying conversions, reconciling inconsistent formats, and fixing pervasive data quality issues all require considerable time from the business and technical experts. In the past, custom conversion programs would be written (often as one of the last activities). Last minute application and database changes often failed to make it into the related conversion programs. All of these things often lead to massive migration issues. It is therefore recommended that data migration validation be performed incrementally throughout the project and migration.



There are several recommendations to achieving a successful migration. First, understand your new Enterprise application will be based on an enterprise database with referential integrity. Referential integrity allows the database to better control the quality of data. It does this by preventing inconsistent data from being inserted into a table (e.g., you cannot create an invoice for a customer unless the customer exists in the customer table). While this type of cross validation can greatly improve data quality, it can cause significant issues during migration to an enterprise database. In order for the data to be loaded the reference data has to match. The legacy systems have been developed somewhat independently. This means there will be greater inconsistency in data formats for key pieces of information. The data content requirements may also vary between systems, with data fields being mandatory in some systems and optional in others.

One way to validate the data will load into the enterprise system is to attempt to load the data into the enterprise system. Most databases have utilities which will reject records that would violate referential integrity constraints. The records which fail are written to a reject file. This may be useful when there are just a few rejects, but hard to manage on a larger scale. ETL tools can be used to better control the load process and even correct many of the problems encountered during the loads (e.g., use predefined business rules to populate missing data). In some cases, the Enterprise vendors may also provide migration tools with some of these capabilities.

It is helpful to involve key business users (data stewards) in data validation early in the testing and validation process. After the data and application are migrated it should be revalidated by data stewards before access permission is granted to the general user population. These data stewards will need to reconcile legacy and migrated data to make sure everything came over and was linked correctly in the new system.

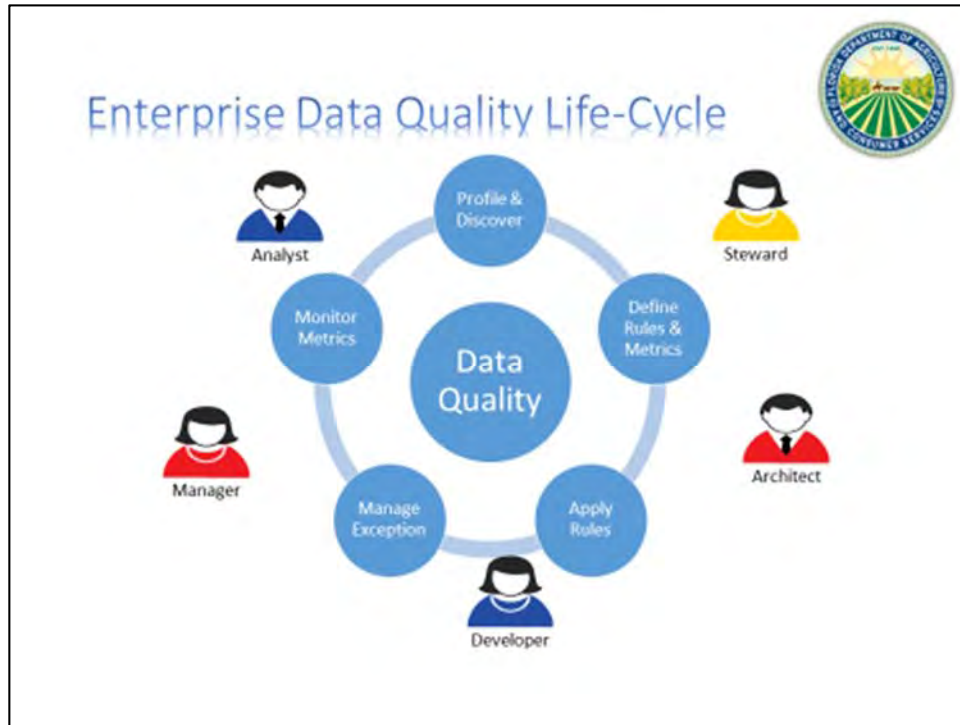
## Section 5      **PREPARING THE DATA FOR THE ENTERPRISE SYSTEM**

This section will provide information on how data is prepared for the new enterprise system.

### **5.1 OVERVIEW**

As shown in Exhibit 2 Quality Lifecycle Management, there are several steps in preparing data for incorporation into an enterprise system. It begins by profiling the data to discover potential format conflicts and data quality issues. In the second step, rules are defined to address and further quantify potential data issues. The third step involves applying the rules to mitigate as many data issues as possible. In the fourth step, any remaining data issues are handled (often manually). In the fifth step, data rules are used to continuously monitor and mitigate data quality issues. The cycle completes when profiling and discovery are periodically run to uncover new or evolving data issues.





**Exhibit 2: Enterprise Data Quality Lifecycle**

North Highland used its data profiling tools to perform an initial profile and discovery of the FDACS enterprise data. The results of this effort are documented in “The Application and Data Portfolio Assessment and Master Data Management Plan”.<sup>4</sup> We are leveraging the results of the profiling effort to also provide context for our Data Conversion and Migration Plan. The following screen shots in this document are taken directly from the profiling results. They are used to describe how the profiling was performed and how those results could be used to drive data conversion and migration.

## 5.2 DATA PROFILES

A data profiling tool was used to perform the initial Profile & Discovery step. This involved the scanning of AgCSS related databases across ORACLE, SQL, or ACCESS databases. Profiling was performed using standard Informatica profiles (more about this in the Business Rules section). Approximately eighty thousand columns were profiled. The following screen shot shows an example of a data profile for the columns in the prof\_DOADV-DOL\_LICENSE\_TBL.

<sup>4</sup> Additional information on topics such as data quality, MDM, and data governance can be found in The Application and Data Portfolio Assessment and Master Data Management Plan.

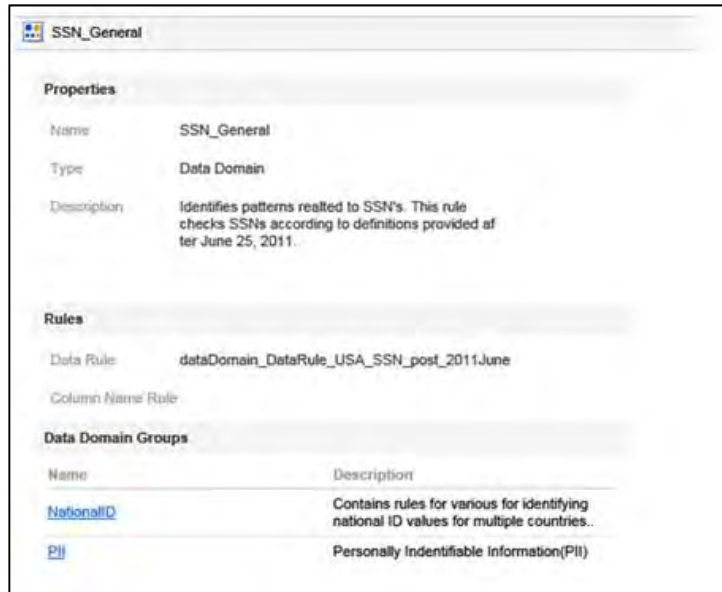


### Exhibit 3: Informatica Table Sample

The example above involved the Licensing Table from the Division of Licensing. Within the table there are multiple fields. The different colored bars indicate how well the data values correspond to defined business rules. The profile also provides information such as the number of unique and null data values. This example shows a pattern window which is used to drill down into the Cert ID to see how many data patterns exist. Patterns refer to different ways data is stored. These patterns are used to identify and resolve inconsistencies in data formats and invalid data content. We can see there are two format patterns for the Cert ID column. The first format accounts for 19.22 % of the Cert ID data and the second accounts for over 80%. These inconsistent formats should be investigated during the data preparation process to determine if conversions are needed. If so, business rules would be created to define what needs to be converted.

### 5.3 BUSINESS RULES

Profiles are based on business rules. To begin with, these rules help identify how to group data into different categories such as social security numbers (sometimes called domains). Column Domains may be identified based on a token in the column name (e.g., SSN) and data patterns (NNN-NN-NNNN). Domains are used to define rules for things such as data quality and expected data formats. The screen shot below shows an example of the basic business rules definition for social security number.



**Exhibit 4: Example of Domain used to store rules for SSN**

Business rules are used to describe the standard format and content of different types of data (dates, addresses...ETC.). On the front end, business rules are used to help validate the data. For instance, a business rule for “ZIP Code” fields might list the acceptable formats, specifically it must match an approved postal code, and must match the city name provided in the address. Other types of business rules might describe how to handle situations where data is missing or invalid. For example, if a zip code is not provided, populate the zip code based on the city name. These rules may also provide substitution precedence which define how data can be filled in from other sources (if field is empty, pull from table A, otherwise, pull from table B). These rules are defined by the data stewards from the various areas (Administration, Licensing, etc.). In some cases the business rules may cross data columns or tables. A business rule might verify that city names correspond to the appropriate zip code and replace any incorrect zip codes. Because of these cross relationships, data rules may be grouped into a set of commonly related fields (often called a domain).

Rules should be defined at the enterprise level, but incorporate local needs. The process for capturing these rules would generally fall within the responsibility of the FDACS data governance organization. Obviously, defining business rules will be a very time consuming process. It is important that rule definition be prioritized in a way that will support the future Enterprise migration. The list of legacy data elements is extensive, with some being more important than others. From a business rules perspective, we are recommending what we call a “Master Data Management (MDM)” approach. This would focus on identifying the most essential data domains and rules first. The essential data elements include domains which are key to sharing data across the enterprise. For instance, license and customer information are types of tools and procedures often used to control and manage the detailed rule collection and implementation. The definition of specific steps would follow within an area of tools and procedures called Master Data Management (MDM).



Business rules will need to be defined for how the data will need to be converted. In some simple cases there will be a one-to-one mapping between a data element in the legacy and target systems. In these cases, a simple mapping of the source to target elements may be all that is required. Many data elements will require more extensive transformations before they can be loaded into the new COTS database. For instance, some legacy fields may contain “intelligent keys” which will need to be split into multiple target elements. Other Enterprise elements may be extracted from multiple sources depending on a list of prioritized sources (e.g., use information from table “A” if it is available, otherwise use information from table “B”). Business rules will need to be captured to codify how these transformations need to occur.

**BASE SET OF BUSINESS RULES**

The following “Business Rules” screen shots list the business rules which were used to analyze the FDACS enterprise data in North Highland’s data profiling tool. The following screen shots drill down into the business rules, which were extended to include input provided by FDACS data stewards.

Name ^	Description	Type
▶ fx dataDomain_DataRule_BirthDay1	Rule mapplet that validates whether the input is a valid birthday .	Rule
▶ fx dataDomain_DataRule_DriversLicense	The rule validates driving license numbers for UK and for most states in the US and Canada[Does not validate licenses for British Columbia, ...	Rule
▶ fx dataDomain_DataRule_DriversLicen...	The rule validates a US DL number for most of states.	Rule
▶ fx dataDomain_DataRule_Email1	Rule mapplet that validates whether the input is a valid Email format.	Rule
▶ fx dataDomain_DataRule_ExpirationDate	Rule mapplet that validates whether the input is expiration date.	Rule
▶ fx dataDomain_DataRule_FirstName1	Rule mapplet that validates whether the input is US first name.	Rule
▶ fx dataDomain_DataRule_Gender	Rule mapplet that validates whether the input is gender.	Rule
▶ fx dataDomain_DataRule_PostCode		Rule
▶ fx dataDomain_DataRule_SSN1	Rule mapplet that validates whether the input is USA SSN.	Rule
▶ fx dataDomain_DataRule_State1	Rule mapplet that validates whether the input is valid US state.	Rule
▶ fx dataDomain_DataRule_US_Zip5	The rule validates a US Zip5 code.	Rule
▶ fx dataDomain_DataRule_USA_SSN_p...	Mapplet is based on rule_USA_SSN_VAlidation_post_June2011. Rule validates a Social security number for length, numeric values and kno... values of the area_group and serial number sections. It does not check if the SSN is an issued number and no longer validates the group and area number combination due to SSN Randomization effective June 25, 2011. See Docket No. SSA 2007-0046 for more information.	Rule
▶ fx dataDomain_DataRule_ZipCode	Rule mapplet that validates whether the input is valid US Zip Code .	Rule
▶ fx dataDomain_MetaDataRowule_BirthDay		Rule
▶ fx dataDomain_MetaDataRowule_DrivingL...		Rule
▶ fx dataDomain_MetaDataRowule_Email		Rule
▶ fx dataDomain_MetaDataRowule_Expirati...		Rule
▶ fx dataDomain_MetaDataRowule_FirstName		Rule
▶ fx dataDomain_MetaDataRowule_Gender		Rule



### Exhibit 5: Business Rules 1

Name	Description	Type
fx dataDomain_MetaDataRule_FirstName		Rule
fx dataDomain_MetaDataRule_Gender		Rule
fx dataDomain_MetaDataRule_SSN		Rule
fx dataDomain_MetaDataRule_State		Rule
fx dataDomain_MetaDataRule_Street		Rule
fx dataDomain_MetaDataRule_ZipCode		Rule
fx rule_Credit_Card_Expiry_Check	Rule accepts a credit card expiration date and compares it to the system date. Past dates are flagged as expired.	Rule
fx rule_Date_of_Birth_Validation1	Rule accepts a 7 character string in MM/YYYY format. Mapplet checks number of years between the input date (DOB) and current date. Returns whether 'Adult' or 'Minor' and 'Valid' for 0 - 120 inclusive, 'Invalid' for all other entries.	Rule
fx rule_Email_Validation1	This mapplet validates the email format. It does not check if the email is an activated address. Returns "Valid" or "Invalid".	Rule
fx rule_fdacs_Address_Validation_Mult...	Mapplet is a template for address validation. It uses a non-formatted multiline input and output format and is set for global address processing.	Rule
fx rule_fdacs_AdultBirthDate	Mapplet checks number of years between the input date (DOB) and current date. Returns whether 'Adult' or 'Minor' and 'Valid' for 0 - 120 inclusive, 'Invalid' for all other entries.	Rule
fx rule_fdacs_GenderValidation	Accepted Gender Code values are as follows: Male = "Male", "MALE" and "M" Female = "Female", "FEMALE" and "F"	Rule

### Exhibit 6: Business Rules 2

Name	Description	Type
fx rule_fdacs_AdultBirthDate	Mapplet checks number of years between the input date (DOB) and current date. Returns whether 'Adult' or 'Minor' and 'Valid' for 0 - 120 inclusive, 'Invalid' for all other entries.	Rule
fx rule_fdacs_GenderValidation	Accepted Gender Code values are as follows: Male = "Male", "MALE" and "M" Female = "Female", "FEMALE" and "F"	Rule
fx rule_fdacs_SSN	Rule validates a Social security number for length, numeric values and known min/max values of the area, group and serial number sections. It does not check if the SSN is an issued number and no longer validates the group and area number combination due to SSN Randomization effective June 25, 2011. See Docket No. SSA 2007-0046 for more information. Special Rule: Designed for DOL Licensing application to accept the Tracking numbers[ie., Tnnnnnnn] as a valid entry for SSN field	Rule
fx rule_fdacs_SSN_special_licensing	Rule validates a Social security number for length, numeric values and known min/max values of the area, group and serial number sections. It does not check if the SSN is an issued number and no longer validates the group and area number combination due to SSN Randomization effective June 25, 2011. See Docket No. SSA 2007-0046 for more information.	Rule
fx rule_USA_SSN_Validation_post_Jun...	Rule validates a Social security number for length, numeric values and known min/max values of the area, group and serial number sections. It does not check if the SSN is an issued number and no longer validates the group and area number combination due to SSN Randomization effective June 25, 2011. See Docket No. SSA 2007-0046 for more information.	Rule
fx rule_USA_SSN_Validation1	This mapplet checks the Area (first 3 numbers) and Group (middle 2 numbers) are a valid combination and other checks for all 0's. It does not check if the SSN is an issued number. Rule accurately validates SSN's issued prior to June 25, 2011 due to SSN Randomization. See Docket No. SSA 2007-0046 for more information.	Rule
fx rule_USA_State_Validation1	This mapplet validates the input string as a state name.	Rule
fx rule_USA_ZIPCode_Validation	This mapplet validates the input string is a 5 digit US Zipcode.	Rule

### Exhibit 7: Business Rules 3



## BUSINESS RULES EXTENDED FOR FDACS

The following set of screenshots list rule descriptions which were extended to incorporate pertinent data validation rules from FDACS data subject matter experts during the initial data assessment. From an Enterprise Data Quality Lifecycle perspective these are the same type of things that would be done in step 2, "Define Rules and Metrics".

**fx rule\_fdacs\_AdultBirthDate**

**Properties**

---

**rule\_fdacs\_AdultBirthDate - Properties**

Properties		Inputs				
Name	rule_fdacs_AdultBirthDate	Name	Data Type	Description	Precision	Scale
Type	Rule	In_DateOfBirth	date/time	Pass the Date Of Birth date string	29	9
Description	Maplet checks number of years between the input date (DOB) and current date. Returns whether 'Adult' or 'Minor' and 'Valid' for 0 - 120 inclusive, 'Invalid' for all other entries.	<b>Outputs</b>				
Location	/BusinessRules	Name	Data Type	Description	Precision	Scale
		Out_DateOfBirth	date/time	Original Date Of Birth Date value passed as input	29	9
		Out_Status	string	Valid = For years 0 thru 120 Invalid = For Years except 0 thru 120	10	0
		Out_Status_Note	string	Minor = For years 0 thru 17 Adult = For years 18 thru 120 Errors like "Age is negative", "Current age is over 120 years" and "Invalid date input"	50	0

**Exhibit 8: Birth Date Validation**

**fx rule\_fdacs\_GenderValidation**

**Properties**

---

**rule\_fdacs\_GenderValidation - Properties**

Properties		Inputs				
Name	rule_fdacs_GenderValidation	Name	Data Type	Description	Precision	Scale
Type	Rule	In_GenderCode	string	Pass the GenderCode available for validation	10	0
Description	Accepted Gender Code values are as follows: Male = "Male", "MALE" and "M" Female = "Female", "FEMALE" and "F"	<b>Outputs</b>				
Location	/BusinessRules	Name	Data Type	Description	Precision	Scale
		Out_GenderCode	string	Original Input Value passed as GenderCode	10	0
		Out_GenderStatus	string	Valid = For all gender codes that exist in reference table Invalid = For all gender codes that do not exist in reference table	10	0

**Exhibit 9: Gender Validation Rule**



**fx rule\_fdacs\_SSN**

**Properties**

**rule\_fdacs\_SSN - Properties**

Properties <a href="#">Edit</a>		Inputs				
Name	rule_fdacs_SSN	Name	Data Type	Description	Precision	Scale
Type	Rule	In_SSN	string	Pass the SSN number as input	30	0
Description	Rule validates a Social security number for length, numeric values and known min/max values of the area, group and serial number sections. It does not check if the SSN is an issued number and no longer validates the group and area number combination due to SSN Randomization effective June 25, 2011. See Docket No. SSA 2007-0046 for more information.	<b>Outputs</b>				
Location	/BusinessRules	Name	Data Type	Description	Precision	Scale
		Out_SSN	string	Original SSN number passed for validation against the business rule	10	0
		Out_SSN_Status	string	Valid = For SSN numbers validated successfully Invalid = For SSN numbers failed validation	15	0
		Out_SSN_Error_Message	string	"No error" = Validated successfully Invalid Errors messages include "Invalid SSN length", "SSN area invalid", "SSN group invalid" and "SSN serial invalid"	100	0

**Exhibit 10: SSN Validation Rule**

**fx rule\_fdacs\_SSN\_special\_licensing**

**Properties**

**rule\_fdacs\_SSN\_special\_licensing - Properties**

Properties <a href="#">Edit</a>		Inputs				
Name	rule_fdacs_SSN_special_licensing	Name	Data Type	Description	Precision	Scale
Type	Rule	In_SSN	string	Pass the SSN number as input Note: Tnnnnnnn Tracking number is also accepted	30	0
Description	Special Rule: Designed for DOL Licensing application to accept the Tracking numbers(ie., Tnnnnnnn) as a valid entry for SSN field  Rule validates a Social security number for length, numeric values and known min/max values of the area, group and serial number sections. It does not check if the SSN is an issued number and no longer validates the group and area number combination due to SSN Randomization effective June 25, 2011. See Docket No. SSA 2007-0046 for more information.	<b>Outputs</b>				
Location	/BusinessRules	Name	Data Type	Description	Precision	Scale
		Out_SSN	string	Original SSN number passed for validation against the business rule	10	0
		Out_SSN_Status	string	Valid = For SSN numbers validated successfully Invalid = For SSN numbers failed validation	15	0
		Out_SSN_Error_Message	string	"No error" = Validated successfully Invalid Errors messages include "Invalid SSN length", "SSN area invalid", "SSN group invalid" and "SSN serial invalid"	100	0

**Exhibit 11: Licensing Validation Rule**



**fx rule\_fdacs\_Address\_Validation\_Multiline\_w\_Geocoding**

**Properties**

**rule\_fdacs\_Address\_Validation\_Multiline\_w\_Geocoding - Properties**

Properties		Inputs				
Name	rule_fdacs_Address_Validation_Multiline_w_Geocoding	Name	Data Type	Description	Precision	Scale
Type	Rule	In_Line1	string		128	0
Description	Mapplet is a template for address validation. It uses a non-formatted multiline input and output format and is set for global address processing.	In_Line2	string		128	0
Location	/BusinessRules	In_Line3	string		128	0
		In_Line4	string		128	0
		In_Line5	string		128	0
		In_Line6	string		128	0
		In_Line7	string		128	0
		In_Line8	string		128	0
		In_Line9	string		128	0
		In_Line10	string		128	0
		In_Line11	string		128	0
		In_Line12	string		128	0

### Exhibit 12: Geocoding Validation Rule

**fx rule\_fdacs\_Address\_Validation\_Multiline\_w\_Geocoding**

**Properties**

**rule\_fdacs\_Address\_Validation\_Multiline\_w\_Geocoding - Properties**

Outputs					
Name	Data Type	Description	Precision	Scale	
Out_FormattedAddressLine1	string		128	0	
Out_FormattedAddressLine2	string		128	0	
Out_FormattedAddressLine3	string		128	0	
Out_FormattedAddressLine4	string		128	0	
Out_FormattedAddressLine5	string		128	0	
Out_FormattedAddressLine6	string		128	0	
Out_FormattedAddressLine7	string		128	0	
Out_FormattedAddressLine8	string		128	0	
Out_FormattedAddressLine9	string		128	0	
Out_FormattedAddressLine10	string		128	0	
Out_FormattedAddressLine11	string		128	0	
Out_FormattedAddressLine12	string		128	0	
Out_CountryName1	string		50	0	
Out_CountryISO2Char	string		2	0	
Out_CountryISO3Char	string		3	0	
Out_CountryISO3Digit	string		3	0	
Out_CountryName2	string		50	0	
Out_ElementInputStatus	string		30	0	
Out_ElementRelevance	string		30	0	
Out_ElementResultStatus	string		30	0	
Out_MailabilityScore	string		2	0	
Out_MatchCode	string		4	0	

### Exhibit 13: Geocoding Validation Rule 2





fx: rule_fdacs_Address_Validation_Multiline_w_Geocoding				
Properties				
rule_fdacs_Address_Validation_Multiline_w_Geocoding - Properties				
Out_CountryName1	string		50	0
Out_CountryISO2Char	string		2	0
Out_CountryISO3Char	string		3	0
Out_CountryISO3Digit	string		3	0
Out_CountryName2	string		50	0
Out_ElementInputStatus	string		30	0
Out_ElementRelevance	string		30	0
Out_ElementResultStatus	string		30	0
Out_MailabilityScore	string		2	0
Out_MatchCode	string		4	0
Out_MatchCode_Description	string		300	0
Out_GeocodingComplete	string		60	0
Out_GeocodingLatitudeLongitudeUnitsstring			10	0
Out_GeocodingLatitude	string		30	0
Out_GeocodingLongitude	string		30	0
Out_GeocodingStatus	string		10	0
Out_GeocodingStatus_Desc	string		128	0
Out_Residue1	string		128	0
Out_Residue2	string		128	0
Out_Residue3	string		128	0
Out_Residue4	string		128	0
Out_Residue5	string		128	0
Out_Residue6	string		128	0

**Exhibit 14: Geocoding Validation Rule 3**

#### 5.4 USING SCORECARDS TO EVALUATE AND PRIORITIZE CONVERSION EFFORTS.

In general, scorecards are used to analyze how well key data domains adhere to prescribed business rules. These level and type of inconsistencies identified by the scorecards directly relate to the conversion effort. Scorecards were created using Informatica Software to



understand the current state of the data of essential data domains. The list of FDACS scorecards is listed below.

▶	sc_All_Address
▶	sc_All_CompanyNames
▶	sc_All_DOB
▶	sc_All_Email
▶	sc_All_Name
▶	sc_All_Phone
▶	sc_All_SSN
▶	sc_All_ZipCode

**Exhibit 15: Scorecard List**

Two data domains were chosen to focus on as they are the most valuable to the Department of Agriculture and Consumer Services: Person/Business Domain and the Address Domain. The Person Domain will provide critical information about a person and a business: Name (Business Name), Phone, Email, SSN, and Date of Birth. The Address Domain includes the Address and Zip Code. Although these examples come from the list above, more attributes can be included in these domains as data stewards collaboratively come up with attributes they believe are critical to each domain.

The following Exhibits show scorecards and data examples which may indicate the need for data conversions. Each table within every scorecard will receive a score based off the number of valid rows in the table divided by the number of total rows in the table. The color rating scheme is 100-95% (Good) Green, 94-85% Yellow (Acceptable), and 84-0% Red (Unacceptable). The following screenshots show data that may be considered valid, but may require conversions to meet what are considered best practice for enterprise data.

### [SCORECARDS FOR INITIAL CONVERSION CANDIDATES](#)

**Person/Business Domain:** Date of Birth, Name, Company Name, Email Address, Phone Number fields

#### *Data of Birth Fields:*

DOB is one of the fields which would be associated with a person domain. Below are screenshots of what each identified table DOB data type is. Looking at the different date formats you can see the lack of consistency throughout the Department. In some of the DOB fields there is a time stamp associated with the date which is unnecessary in this data as we are looking just for a date (compared to if you were tracking an order then a timestamp might be necessary). A



second difference is formatting. Some tables have a dash between both the year and month and month and day while one table has no dash and the format is month year day. Although two to three different date formats are shown in this sample, there are many different formats that are possible and could be used throughout the FDACS database.

During migration the date field is one in which the data type will have to be discussed and the data stewards would come up with a data type that they would like to use for this field. A conversion technique would be applied to each of the multiple fields to make one DOB format. After the migration has taken place and the data is in an Enterprise solution, when your search on a DOB you can expect the same format to be shown. This technique can be applied to all areas in which a date field is used. For some licenses or purchases you may consider a timestamp to be included to the date, but for a field such as DOB this is not necessary.

sc_All_DOB - metrics				Total Cost of Inv
Name	Total Rows	Invalid Rows	Score	Sec
▼ Default			0	
DOADV_DOL_IND_NAME_DOB	2618741	1574301	39.88	
DOA_FAVR_DOB	1942	6	99.69	
DOADV_DOL_RL_DOB	260310	98466	62.17	
DOA_SUNTRACK_DOB	220629	152936	30.68	
DOA_FAVR_EMP_DOB	1355	4	99.7	
DOFTE_FIMS_DATE_OF_BIRTH	777728	662521	14.81	
DOCS_CSTRACK_BIRTH_DATE	776665	679151	12.56	

**Exhibit 16: sc-All-DOB Scorecard**

DOB
1958-08-14 00:00:00.0
1968-11-25 00:00:00.0
1944-07-15 00:00:00.0
1970-08-23 00:00:00.0
1964-02-06 00:00:00.0
1944-02-07 00:00:00.0
1981-10-18 00:00:00.0
1951-02-15 00:00:00.0

**Exhibit 17: DOA\_FAVR**



<input checked="" type="radio"/> Valid Rows <input type="radio"/> Invalid Rows
DOB
1964-09-07 00:00:00.0
1952-01-17 00:00:00.0
1950-09-20 00:00:00.0
1950-09-29 00:00:00.0
1966-08-05 00:00:00.0
1924-02-13 00:00:00.0
1964-05-02 00:00:00.0
1964-05-02 00:00:00.0

**Exhibit 18: DOA\_SUNTRACK**

<input checked="" type="radio"/> Valid Rows <input type="radio"/> Invalid Rows
RL_DOB
08191988
08071964
06261955
04191961
12151969
04191983
08181986
07131988

**Exhibit 19: DOADV\_DOL**



<input checked="" type="radio"/> Valid Rows <input type="radio"/> Invalid Rows
IND_NAME_DOB
1962-02-05 00:00:00.0
1948-04-12 00:00:00.0
1948-04-12 00:00:00.0
1948-04-12 00:00:00.0
1979-03-28 00:00:00.0
1970-01-06 00:00:00.0
1957-10-22 00:00:00.0

### Exhibit 20: DOADV\_DOL\_IND

Drill down:DATE\_OF\_BIRTH = 'A'

<input checked="" type="radio"/> Valid Rows <input type="radio"/> Invalid Rows
DATE_OF_BIRTH
1953-11-29 00:00:00.0
1956-12-30 00:00:00.0
1937-12-03 00:00:00.0
1961-09-07 00:00:00.0
1956-02-25 00:00:00.0
1964-01-09 00:00:00.0
1956-02-25 00:00:00.0
1977-08-15 00:00:00.0
-----

### Exhibit 21: DOFTE\_FIMS

Drill down:BIRTH\_DATE = 'Ja'

<input checked="" type="radio"/> Valid Rows <input type="radio"/> Invalid Rows
BIRTH_DATE
1955-01-30 00:00:00.0
1963-08-15 00:00:00.0
1936-12-18 00:00:00.0
1948-06-23 00:00:00.0
1964-04-21 00:00:00.0
1965-02-22 00:00:00.0
1967-10-07 00:00:00.0
1957-07-31 00:00:00.0
1977-06-01 00:00:00.0



## Exhibit 22: DOCS\_CSTRACK

### Name Fields:

Name fields should be formatted consistently across the enterprise solution. For example, in the Division of Licensing if the name field is 20 characters long then it should be the same in the Division of Administration. Best practices include using capital letters throughout the name field to keep the format the same, defining how to deal with abbreviations such as JR and SR, deciding if you will have two fields (one for first name one for last name), or one field for both. From the screen shots below you can see different formats as well as a title next to some names in the LPGAS database. The title or position someone holds should be considered a separate field and have its own metadata information. Lastly, there should be validation to see if the name already exists in the system, which could include using social security numbers as two people may have the same name but each will have a unique social security number.

sc_All_Name - metrics				Total Cost o
Name	Total Rows	Invalid Rows	Score	
▼ Default			0	
Name_LPGAS_FIRMS	32379	16139	50.16	
DOFTE_FIMS_FIRST_NAME	777728	53691	93.1	
DOFTE_FIMS_LAST_NAME	777728	127906	83.55	
DOA_SUNTRACK_FIRST_NAME	10169395	530670	94.78	
DOA_SUNTRACK_LAST_NAME	10169395	1638226	83.89	
DOCS_CSTRACK_FIRST_NAME	1492520	1484815	0.52	

### Exhibit 23: sc-All\_NAME Actual valid rows will not be listed because of privacy issues

### Company Name Fields:

Company name or business name field should be consistent throughout the database with the character length that is associated with the field. Although it is hard to monitor special characters in the field as company names could have these characters, validation of the company name as well as checking for consistency of the name throughout the system is highly recommended. This allows for a “golden record” for the company to exist in the enterprise solutions and multiple licenses can be tracked back to the company.



sc_All_CompanyNames - metrics				Total Cost of Invali
Name	Total Rows	Invalid Rows	Score	Score
▼ Default			0	
MOBL_FSLIMS_COMPANY_NAME	167142	139948	16.27	█
PICS_PICS_COMPANY_NAME	82487	82487	0	
LIMS_Labworks_COMPANY_NAME	13697	1	99.99	█
BMPTS2_COMPANY_NAME	8344	6142	26.39	█
DOA_SUNTRACK_COMPANY_NAME	8222	8133	1.08	
DOCS_CSTRACK_F2F_COMPANY_NAME	1313	41	96.88	█
DOCS_CSTRACK2_BUSINESS_NAME	1487067	1479354	0.52	
DOCS@_CSTRACK_BUSINESS_NAME	106012	22703	78.58	█
MOBL_FIMS_BUSINESS_NAME	8724	2670	67.1	█
DOA_SUNTRACK_CEU_BUSINESS_NAME	1922	103	94.64	█
DOADV_DOL_ORG_NAME_NAME	27103	7445	72.53	█
DACS_EMP_ORG_CODE	19677	5068	74.24	█

Exhibit 24: sc\_ALL\_COMPANY\_NAMES

<input checked="" type="radio"/> Valid Rows	<input type="radio"/> Invalid Rows
COMPANY_NAME	
2 S B LLC	
2x4 Ranch	
3 Point Ranch	
3-C Ranch	
35 Farms Peanut Venture	
3B groves & Ranch	
3B groves & Ranch/ Beth Clark/ Ethilind Prescott	
3B groves & Ranch/ Ethilind	
3B groves & Ranch/ Ethilind	
3C Enterprises	
3J Farms LLC	
3N groves LLP	
4 N 1 Grove LLC	
4 Star Tomato Inc	

Exhibit 25: BMPTS2



<input checked="" type="radio"/> Valid Rows	<input type="radio"/> Invalid Rows
COMPANY_NAME	
BARNES FERTILIZER, INC.	
WORLDWISE, INC.	
FREEDOM HEALTH LLC	
FOUR BOY LANDSCAPE SUPPLY	
SOLU-CAL USA, LTD.	
WILLISTON FARM SUPPLIES & SERVICE	
STIMUPRO LLC	
TOMATO GROWERS SUPPLY COMPANY	
LABELLE FERTILIZER & CHEMICAL COMPANY	
THOMAS FARMS	

**Exhibit 26: LIMS\_Labworks**

<input checked="" type="radio"/> Valid Rows	<input type="radio"/> Invalid Rows
BUSINESS_NAME	
MOSQUITO CONTROL SERVICES	
ALABAMA GOLF COURSE SUPERINTENDENTS ASSOCIATION	
BEPC - MOSQUITO CONTROL SECTION	
PINELLAS TECHNICAL EDUCATION CENTER (PTEC)	
ETC SAMNIK SEMINARS	
CLEMSON UNIVERSITY	
MARION CO. EXTENSION SVC. UF/IFAS	
MIAMI - DADE COUNTY PARKS - NATURAL AREAS MGT.	
CEUWORKS.COM (SAFETY SERVICE)	

**Exhibit 27: DOA\_SUNTRACK\_CEU**





Valid Rows		Invalid Rows	
ORG_NAME_NAME			
COMMUNITY SECURITY	ENFORCEMENT		
STATEWIDE ENTERPRISE, INC. DBA/CUSTOM SECURITY SOLUTIO...			
"A PRESTIGIOUS ANALYSIS, INC."			
"B-SECURE" INVESTIGATIONS AND SECURITY SERVICES, INC.			
"COP OUT" INVESTIGATIONS			
"EYES ON YOU" SUBPOENA & INVESTIGATIONS, INC.			
"FINEST" IN FLORIDA, INC.			
"I AM" INVESTIGATIONS, INC.			
"ICUBED, LLC"			
"MEMBERS/10 OF FL ASSO OF LICENSED REPOSSESSORS			

**Exhibit 28: DOADV\_DOL**

*Email Address Fields:*

Email addresses that are provided to the Department should be validated by checking that the Top Level Domains (.com, .net, .org, etc.) or Second Level Domains (example.co.us) are complete. With the domain being validated then a confirmation email can be sent to the customer which will allow the customer to confirm their email address. With these steps taken in the email portion of the People Domain you will ensure an open line of communication.

sc_All_Email - metrics				Total Cost of Inva
Name	Total Rows	Invalid Rows	Score	Sc
▼ Default			0	
EGC_WEB_EMAIL	8634995	2683338	68.92	
DOCS_CSTRACK_EMAIL_ADDRESS	1943494	1919290	1.25	
DOCS_CSTRACK_BUSINESS_EMAIL	1485100	965646	33.63	
DOFTE_FIMS_EMAIL	1274120	1237647	2.86	
EGC_CUSTOMER_EMAIL	588999	492897	16.32	
AGR_PITR_EMAIL	242082	175263	27.6	
AGR_PPST_CLCTR_EMAIL	86658	83661	3.46	
AGR_PPST_FRM_EMAIL	86658	80894	6.65	
DOA_LPGAS_EMAIL_ADDRESS	32314	25242	21.89	
EGC_POOL_PREPARER_EMAIL	23920	430	98.2	
EGC_POOL_ORIG_EMAIL	23920	11026	53.9	
LIMS_LAWWORKS_EMAIL_ID	19392	2124	89.05	

**Exhibit 29: sc\_ALL\_EMAIL Actual valid rows will not be listed because of privacy issues**



*Phone Number Fields:*

In the phone number field it should be decided whether to use a 7 digit or 10 digit phone number. Assuming that all numbers should be a US phone number it may not be necessary to have the country code in front of the area code but this is a decision for the Department. Also, formatting such as using a dash or parenthesis should be agreed upon in the phone field before migration.

sc_All_Phone - metrics				Total Cost of I
Name	Total Rows	Invalid Rows	Score	
▼ Default			0	
DOFTE_FIMS_PHONE_NUMBER	218333	171332	21.53	
AGR_PPST_CLCTR_PHONE_NUMBER	86687	86438	0.29	
DOA_SUNTRACK_PAYOR_PHONE_NUMBER	206988	82724	60.03	
DOA_LPGAS_PHONE_NUMBER	32326	10246	68.3	
DOCS_CSTRACK_PHONE_NUMBER	29948	17359	42.04	
EGC_POOL_PHONE_NUMBER	15802	0	100	
DOA_ANIMAL_OWNER_MOBILE_NUMBER	11891	10855	8.71	
DOA_ANIMAL_OWNER_PHONE_NUMBER	11891	2127	82.11	
DACS_EXTERNAL_PHONE_NUMBER	2126	1140	46.38	
DOCS_CSTRACK_F2F_REGISTRANT_NUMBER	1313	0	100	

**Exhibit 30: sc\_ALL\_PHONE, Actual valid rows will not be listed because of privacy issues**

*Social Security Fields:*

The social security fields contain a mixture of social security numbers for individuals and business identifiers for organizations. The validation rules were extended to handle business identifiers in social security fields.

sc_All_SSN - metrics				Total Cost of I
Name	Total Rows	Invalid Rows	Score	
▼ Default			0	
DOA_FAVR_SSN	697793	6	99.99	
Licensinalfields_SSN	17928603	16942969	5.5	
EGC_CUSTOMERS_FEID_SSN	589781	529048	10.3	
DACS_OWNER_SSN	134249	111697	16.8	
DOA_SUNTRACK_SSN_FEI	33616	17117	49.08	
DOA_LPGAS_SSN	23163	23163	0	

**Exhibit 31: SSN Actual valid rows will not be listed because of privacy issues.**

ADDRESS DOMAIN: Address, Zip Code fields

*Address Fields:*



The diagram below shows a sample Address Scorecard for FDACS. Address is important because it is often used to communicate with businesses and to dispatch services. Addresses pose a significant quality issue in legacy systems because they tend to be stored redundantly, leading to inconsistent and out of date information. Informatica's address validation algorithms were used to profile the percentage of issues to identify inconsistent or invalid addresses. Inconsistencies dealt with the format and content of addresses. For example, one column address might spell out "123 Mockingbird Drive" while another might use the abbreviation "123 Mockingbird dr". These types of inconsistencies may lead to duplicate mailings or search issues. These types of inconsistencies may be eliminated as part of the data cleansing or conversion effort. Several software vendors provide data quality tools which deal with "address" issues. In a few cases, COTS applications may also include migration tools to help convert inconsistent addresses into a consistent format. Writing custom conversion applications is another option, but tends to have higher costs and risks.

Within the address domain there are inconsistencies in format that should be addressed when migrating to a new enterprise solution. In the screen shot below you can see that Avenue is spelled out, but also abbreviated as well as issues with PO BOX and P.O. BOX. These are just some issues that can be seen but various formatting decisions will need to be made by a data governance team in order to have consistent format in all address fields. In an address field it should be decided if you will have the value be in all caps as well as decisions on whether or not abbreviations are going to be the proper format or if all values should be spelled out. Cross validation should also be performed to make sure that the zip code that is provided matches the city and state of the address.

sc_All_Address - metrics				Total Cost
Name	Total Rows	Invalid Rows	Score	
▼ Default			0	
DOA_SUNTRACK_MAIL_ADDRESS_2	10073881	9813086	2.59	
DOA_SUNTRACK_MAIL_ADDRESS_1	10073881	8647908	14.16	█
DOCS_CSTRACK_ADDRESS_LINE1	2111683	1686889	20.12	█
AGR_EIS_ORIGIN_ADDRESS	1098188	1050855	4.31	█
AGR_EIS_DESTINATION_ADDRESS	1098188	1001757	8.78	█
AGR_AGLAW_ORIGIN_ADDRESS	1096609	1082731	0.35	
AGR_AGLAW_DESTINATION_ADDRESS	1096609	1042413	4.94	█
DOFT_FIMS_ADDRESS	777728	609411	21.64	█
EGC_CUSTOMER_ADDR2	643070	633897	1.43	
EGC_CUSTOMER_ADDR1	643070	272883	57.57	█
DOA_FAVR_APPLICANT_ADDRESS	276954	76408	72.41	█
MBL_FIMS_ADDRESS_LINE_1	270742	68631	74.65	█

**Exhibit 32: All-Address\_Metrics**



Drill down: ORIGIN\_ADDRESS = ':' OR ' 14201 SW 216TH ST.' OR ' 16

ORIGIN_ADDRESS	DESTINATION_ADDRESS
NA	NA
PO BOX 119900	5400 LONGLEAF ST
17200 SW 248 ST	1019 W. MODERMOTT DR.
P.O. BOX 690	475 NE 185TH ST.
PO BOX 189	4206 NERCANTILE AVE.
PO BOX 1944	246 EAST CALDWELL AVENUE
PO BOX 690	NULL
SALINAS EXPRESS COOLING	NULL
PO BOX 260827	3508 SYDNEY RD.
PO BOX 0	14108 BEACH BLVD

**Exhibit 33: AGR\_AGLAW**

*Zip Code Fields:*

Zip codes can be validated against a GIS system. Decisions to be made on a zip code will be if you are going to use a 5 digit format or 9 digit format. This zip code field could be used to validate the City that is provided by the user as well.

sc\_All\_ZipCode - metrics

Name	Total Rows	Invalid Rows	Score	Total Cost of Inva
▼ Default			0	
DOL_ORG_Zip6	43779	0	100	
DOL_ORG_Zip4	43779	43779	0	
DOL_Zip6_End	44421	34508	22.32	
DOL_Zip6_Start	44421	44421	0	
DOL_ZIP6	2213494	2213494	0	

**Exhibit 34: sc\_ALL\_ZIP**

Zip5	Total Rows	Invalid Rows	Score	Total Cost of Inva
▼ Zip5			0	
CSTrack_Zip5	1539888	0	100	
DACS_Zip5	1539888	0	100	
PICS_Zip5	12452631	10715221	13.95	
SUNTRACK_ZIP5	1888843	24414	98.71	
AGR_EIS_ORIGIN_ZIP5	1100409	979732	10.97	
AGR_EIS_dest_ZIP5	1100409	963627	10.61	
AGR_AGLAW_ORIGIN_ZIP5	1098875	1011404	7.96	
AGR_AGLAW_DEST_ZIP5	1098875	1018797	7.29	
DOFTE_FIMS_ZIP5	777728	81055	89.58	

**Exhibit 35: sc\_ALL\_ZIP5**



## Section 6 DATA VALIDATION

### 6.1 DATA VALIDATION BEFORE THE MIGRATION

Validating the successful migration of data is often the most time consuming portion of the migration schedule. The data will need to be reviewed before, during and after cutover. The screen shots below take you through the process of data being transformed based off a business rule. This process includes how data with any issues are flagged as well as identifying a data steward to review the data to either make changes or accept the data conversion.

The screenshot shows the Informatica Analyst web interface. At the top, there is a navigation bar with 'Start', 'Discovery', 'Design', and 'Scorecards'. Below this is a 'My Tasks' section with a dropdown arrow and a refresh icon. The main content is a table titled 'Tasks (7)' with the following columns: ID, Task Title, Task Type, Due Date, Status, Owner, and Created. The table contains 7 rows of task data.

ID	Task Title	Task Type	Due Date	Status	Owner	Created
18	ExceptionStep (1 - 25)	Correct Exceptions	01/06/2016	Overdue	Tamil Dhanabalan	01/05/2016
19	ExceptionStep (1 - 25)	Correct Exceptions	01/06/2016	Overdue	Tamil Dhanabalan	01/05/2016
25	ExceptionStep (76 - 81)	Correct Exceptions	01/06/2016	Overdue	Tamil Dhanabalan	01/05/2016
97	ExceptionStepModified (1 - 25)	Correct Exceptions	01/12/2016	On Schedule	Tamil Dhanabalan	01/11/2016
98	ExceptionStepModified (26 - 50)	Correct Exceptions	01/12/2016	On Schedule		01/11/2016
99	ExceptionStepModified (51 - 75)	Correct Exceptions	01/12/2016	On Schedule		01/11/2016
100	ExceptionStepModified (76 - 81)	Correct Exceptions	01/12/2016	On Schedule		01/11/2016

**Exhibit 36: Exception Management-Data Steward Home Page (Informatica Analyst)**



**Note:** Data Stewards home page in Informatica Analyst tool will be populated with pending exception management task

LICENSE_CERT	LICENSE_AUX	LICENSE_OWNER	LICENSE_DATE	LICENSE_EXPIRE	LICENSE_STATCD	ADMIN_ACT_SEQ	ADMIN_ACT_TOI	FIRE_WAIVER_S	FIRE_WAIVER_T	CASELOAD_SEG	CASELOAD_TOT	EMPLOYER_SEG	EMPLOYER_TOT	LICENSE_OPR	LICENSE_ADD_E	DGScore	DQ
8 2000173		OK2000618	16/Oct/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	109	16/Oct/2000 00: 50		
8 2000175		OK2000612	13/Oct/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	109	13/Oct/2000 00: 50		
8 2000178		OK2000666	8/Nov/2000 00:00:00	29	1	1	0	0	0	0	0	0	0	109	8/Nov/2000 00: 50		
8 2000179		OK2000718	6/Dec/2000 00:00:00	29	1	1	0	0	0	0	0	0	0	180	6/Dec/2000 00: 50		
8 2000202		OK2000622	26/Dec/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	180	26/Dec/2000 00: 50		
8 9900183		OK2000005	4/Jan/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	204	4/Jan/2000 00: 50		

**Exhibit 37: Assigned Exception(s) Informatica 1**

LICENSE_CERT	LICENSE_AUX	LICENSE_OWNER	LICENSE_DATE	LICENSE_EXPIRE	LICENSE_STATCD	ADMIN_ACT_SEQ	ADMIN_ACT_TOI	FIRE_WAIVER_S	FIRE_WAIVER_T	CASELOAD_SEG	CASELOAD_TOT	EMPLOYER_SEG	EMPLOYER_TOT	LICENSE_OPR	LICENSE_ADD_E	DGScore	DQ
8 2000173		OK2000618	16/Oct/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	109	16/Oct/2000 00: 50		
8 2000175		OK2000612	13/Oct/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	109	13/Oct/2000 00: 50		
8 2000178		OK2000666	8/Nov/2000 00:00:00	29	1	1	0	0	0	0	0	0	0	109	8/Nov/2000 00: 50		
8 2000179		OK2000718	6/Dec/2000 00:00:00	29	1	1	0	0	0	0	0	0	0	180	6/Dec/2000 00: 50		
8 2000202		OK2000622	26/Dec/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	180	26/Dec/2000 00: 50		
8 9900183		OK2000005	4/Jan/2000 00:00:00	30	0	0	0	0	0	0	0	0	0	204	4/Jan/2000 00: 50		

**Exhibit 38: Assigned Exception(s) Informatica 2**

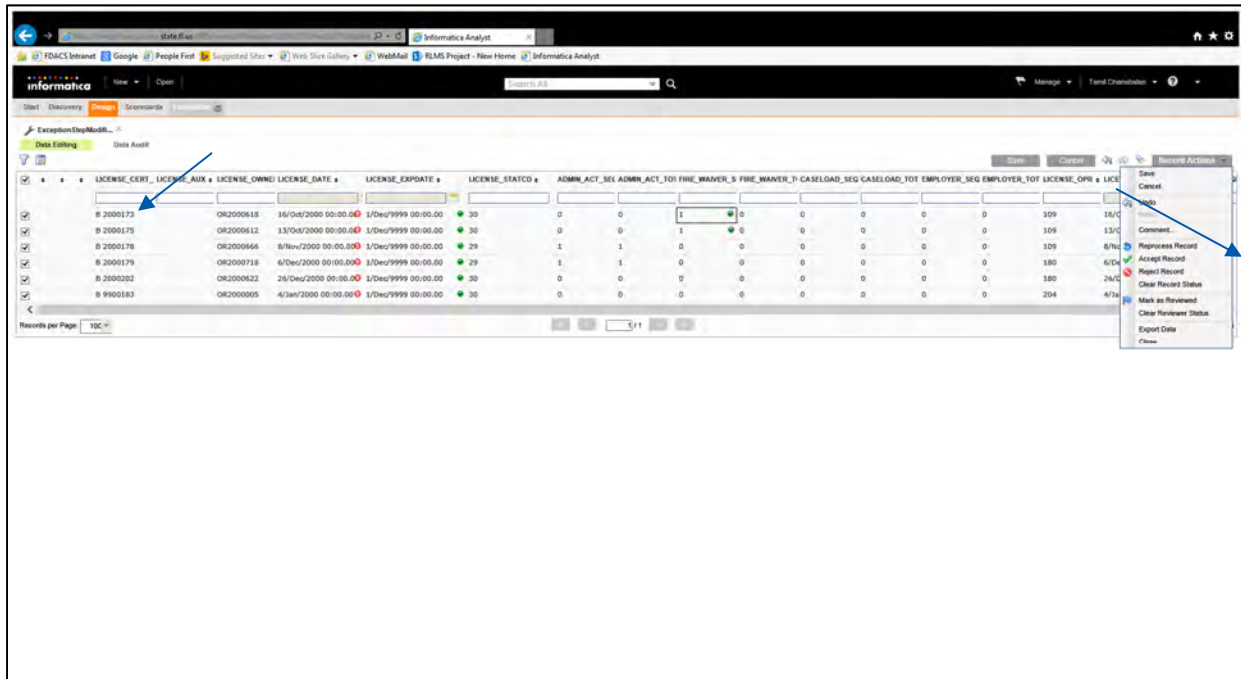
Click "Edit Pencil" for Exceptions for Modifications. (Informatica)



LICENSE_CERT	LICENSE_AUX	LICENSE_OWNER	LICENSE_DATE	LICENSE_EXPIDATE	LICENSE_STATCD	ADMIN_ACT_SEQ	ADMIN_ACT_TOI	FIRE_WAIVER_S	FIRE_WAIVER_T	CASELOAD_SEG	CASELOAD_TOT	EMPLOYER_SEG	EMPLOYER_TOT	LICENSE_OPR	LICENSE_ADR_E	DGScore
8 2000173		OR2000618	16/Oct/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	1	0	0	0	0	0	109	16/Oct/2000 00:00:00	50
8 2000175		OR2000612	13/Oct/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	1	0	0	0	0	0	109	13/Oct/2000 00:00:00	50
8 2000178		OR2000666	8/Nov/2000 00:00:00	1/Dec/9999 00:00:00	29	1	1	0	0	0	0	0	0	109	8/Nov/2000 00:00:00	50
8 2000179		OR2000718	6/Dec/2000 00:00:00	1/Dec/9999 00:00:00	29	1	1	0	0	0	0	0	0	180	6/Dec/2000 00:00:00	50
8 2000202		OR2000622	24/Dec/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	0	0	0	0	0	0	180	24/Dec/2000 00:00:00	50
8 9900183		OR2000905	4/Jan/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	0	0	0	0	0	0	204	4/Jan/2000 00:00:00	50

### Exhibit 39: Assigned Exception(s) Informatica 3

Make the necessary modifications in the EDIT panel and click the save button. [Modifications will be highlighted with a Green tick mark as shown below]



### Exhibit 40: Assigned Exception(s) Informatica 4

Check all the records that are ready for review and then open Record Actions then choose “Accept Record” to send the modifications to the reviewer for approval.





LICENSE_CERT	LICENSE_AUX	LICENSE_OWNER	LICENSE_DATE	LICENSE_EXPIRATE	LICENSE_STATCD	ADMIN_ACT_SEX	ADMIN_ACT_TOT	FIRE_WAIVER_S	FIRE_WAIVER_T	CASELOAD_SEG	CASELOAD_TOT	EMPLOYER_SEG	EMPLOYER_TOT	LICENSE_OPR	LICENSE_ADD_S	DGScore
B 2000173		0K2000618	16/Oct/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	1	0	0	0	0	0	109	16/Oct/2000 00:50	
B 2000175		0K2000612	13/Oct/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	1	0	0	0	0	0	109	13/Oct/2000 00:50	
B 2000178		0K2000666	8/Nov/2000 00:00:00	1/Dec/9999 00:00:00	29	1	1	0	0	0	0	0	0	109	8/Nov/2000 00:50	
B 2000179		0K2000718	6/Dec/2000 00:00:00	1/Dec/9999 00:00:00	29	1	1	0	0	0	0	0	0	180	6/Dec/2000 00:50	
B 2000202		0K2000622	26/Dec/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	0	0	0	0	0	0	180	26/Dec/2000 00:50	
B 9900183		0K2000005	4/Jan/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	0	0	0	0	0	0	204	4/Jan/2000 00:50	

**Exhibit 41: Assigned Exception(s) Informatica 5**

On accepting the record, the record will be marked with a Green tick mark in the 3rd column to display the current status.

LICENSE_CERT	LICENSE_AUX	LICENSE_OWNER	LICENSE_DATE	LICENSE_EXPIRATE	LICENSE_STATCD	ADMIN_ACT_SEX	ADMIN_ACT_TOT	FIRE_WAIVER_S	FIRE_WAIVER_T	CASELOAD_SEG	CASELOAD_TOT	EMPLOYER_SEG	EMPLOYER_TOT	LICENSE_OPR	LICENSE_ADD_S	DGScore
B 2000173		0K2000618	16/Oct/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	1	0	0	0	0	0	109	16/Oct/2000 00:50	
B 2000175		0K2000612	13/Oct/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	1	0	0	0	0	0	109	13/Oct/2000 00:50	
B 2000178		0K2000666	8/Nov/2000 00:00:00	1/Dec/9999 00:00:00	29	1	1	0	0	0	0	0	0	109	8/Nov/2000 00:50	
B 2000179		0K2000718	6/Dec/2000 00:00:00	1/Dec/9999 00:00:00	29	1	1	0	0	0	0	0	0	180	6/Dec/2000 00:50	
B 2000202		0K2000622	26/Dec/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	0	0	0	0	0	0	180	26/Dec/2000 00:50	
B 9900183		0K2000005	4/Jan/2000 00:00:00	1/Dec/9999 00:00:00	30	0	0	0	0	0	0	0	0	204	4/Jan/2000 00:50	

**Exhibit 42: Assigned Exception(s) Informatica 6**

The reviewer will be notified by new task for reviewing on the home page. Reviewer can approve the task under “Record Actions” as shown above.

Once the reviewer accepts the change the record will be flagged with a blue flag symbol indicating the review process is complete.



## 6.2 DATA VALIDATION AFTER THE MIGRATION

Data conversion and migration can be a very time consuming task which can pose considerable risk if not executed correctly. It is critical that data conversions and migration procedures and applications be validated well in advance of the actual migration date. This type of validation is often referred to as a mock migration.

The key is to validate early and progressively. This should be part of a mock strategy. Mock refers to the progressive testing of the migration process. It should include data, migration tools and procedures for the people who will be involved in the migration. Think of it as a system integration test for migration. There are typically three mocks. The first mock is performed by the data team and attempts to run a small subset of data through the extract, transform and load processes. The objective is to get as far as possible into the migration process. Data format inconsistencies may cause the migration to fail, so the cleaner and more consistent the data, the farther you will get. Your migration team will need to review what has been missed and identify possible failure patterns and business/conversion rules for correcting them. The goal is to automate as much of the conversion process as possible to minimize manual intervention by the data stewards.

The second mock is similar to the first, just on a broader scale. A much larger sample should be used and the goal should be to complete the extract, transform and load process. Ideally, the data would be pushed through any available applications and interfaces. New data failure patterns should be identified and resolved. In addition, SI and FDACS resources should participate in the mock to help understand and refine what their role will be during the migration process. Migrations involve a tightly interrelated set of steps which are highly sequence dependent. These steps and handoffs must be carefully defined and practiced by all participants if the migration is to be successful. Timings should be taken for each step and extrapolated to create an estimated schedule for the actual production migration.

The third mock should approximate the production migration as close as possible. This should include not only the most recent copy of production data available, but applications, interfaces, validation procedures, and operational schedule (including the precise timing of configuration changes such as code promotion and starting/stopping of legacy and new interfaces).

The data should also be revalidated in the actual applications before opening the applications for general use. Immediately after the production cutover, data stewards and key business users should navigate various aspects of the application to validate data has migrated successfully and it is available through various application components. Although standard validation scripts should be executed, a certain degree of manual validation should also be performed.

## 6.3 REPORTS GENERATED TO VALIDATE DATA AFTER MIGRATION

Reports may be generated to aid in the deployment validation. These reports would use data metrics from various sources to help validate the information was migrated and linked correctly. For instance, “does the number of customers extracted from the source system match the



number of customers on the target system?” During migrations, data will be loaded in a series of steps which are grouped based on table interdependencies (sometimes referred to as referential sets). For example, “Customer” data may be loaded before data that references customer information. The recommended approach is to validate at each of these major steps. This will minimize the amount of potential rework when unexpected issues occur.

Automated validation and migration dashboards should be used to accelerate visibility into issues while keeping the migration moving. It is important that this reconciliation take place through-out migrations not just at the end.

Below is a very simple example of an automated dashboard that could be used to track the successful migrations of legacy data.



#	Validation Description	Extracted from Legacy	Loaded to Target App	Extracted from Legacy [By Year]	Loaded to Target [By Year]	Extracted from Legacy [By Geography]	Loaded to Target [By Geography]
1	Total Number of License records	10000	10000	2016 500 2015 500 2014 4000 2013 5000	2016 500 2015 500 2014 1000 2014 4000 2013 5000	32301 500 32303 500 32304 4000 322305 5000	32301 500 32303 500 32304 4000 322305 5000
2	Total Number of Individuals with License records						
3	Total Number of Organizations with License records						
4	Total Number of License records with different license status						
5	Total Number of License records by SSN/Application number						
6	Total Number of Organization records						
7	Match the counts of code-value pairs from source to target. [i.e., Lookup tables]						
8	Special test case for VMS date with counts						

Exhibit 43: Migration Dashboard

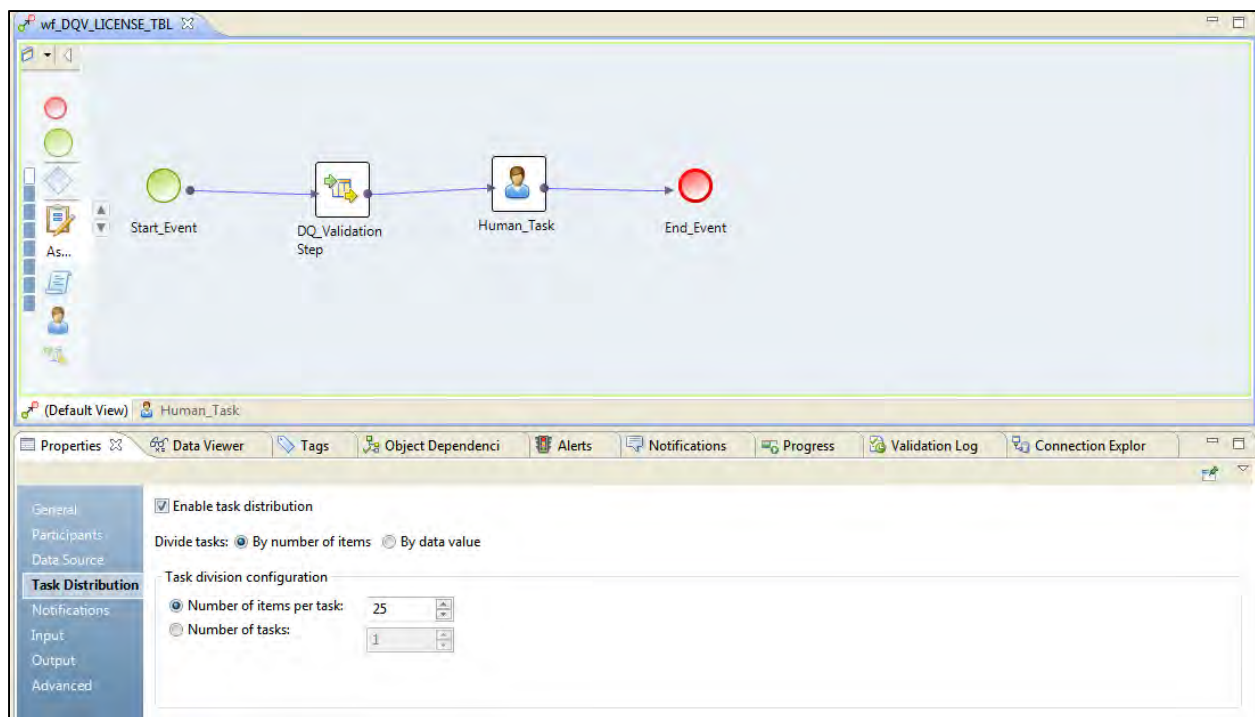


**Note:** This row count check is just to give a high-level confidence on the migration. Additional migration testing, including spot checking, and additional test cases must be conducted as necessary.

## Section 7 APPENDIX: MAPPING WITH EXCEPTION WORKFLOWS

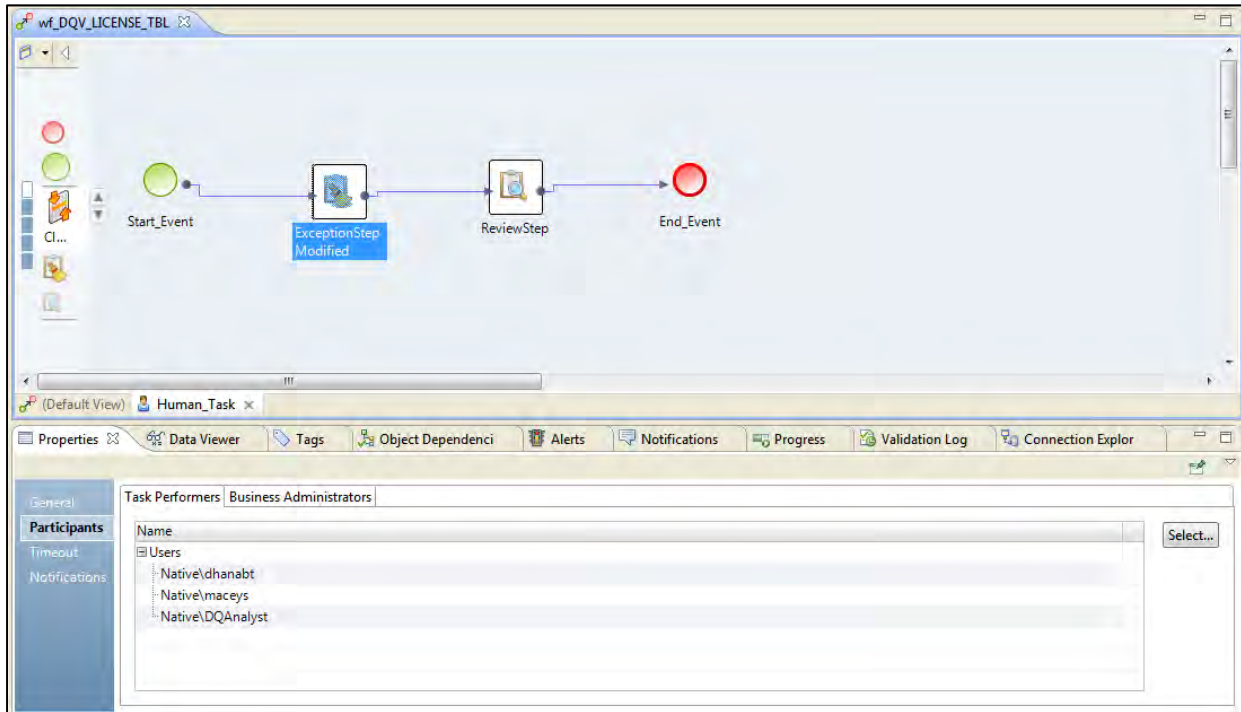
This appendix shows an example of how workflows could be defined to help steam-line the manual validation of data. Ideally human intervention will be minimized to enable increased data quality and help accelerate the migration process. Workflows should be monitored to refine validation rules to possibly eliminate the need for human intervention.

### IDQ WORKFLOW MAPPING WITH HUMAN TASK AUTOMATION.



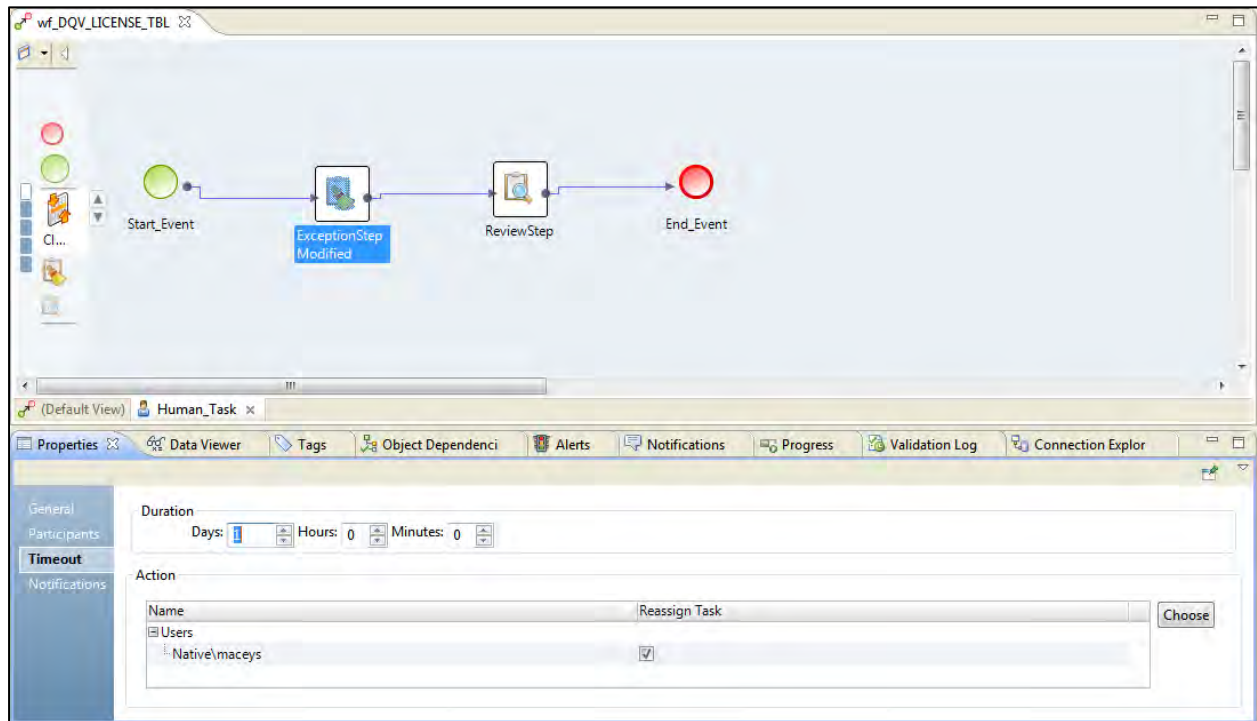
**Exhibit 44: IDQ Workflow Mapping with Human Task Automation. 1**

**Note:** Above screen displays how the Data Exceptions can be distributed via automated emails either based on number of exceptions (or) by a data value like for example, all exceptions originated from a specific county/district are routed to the email contact of the corresponding contact for the district/county.



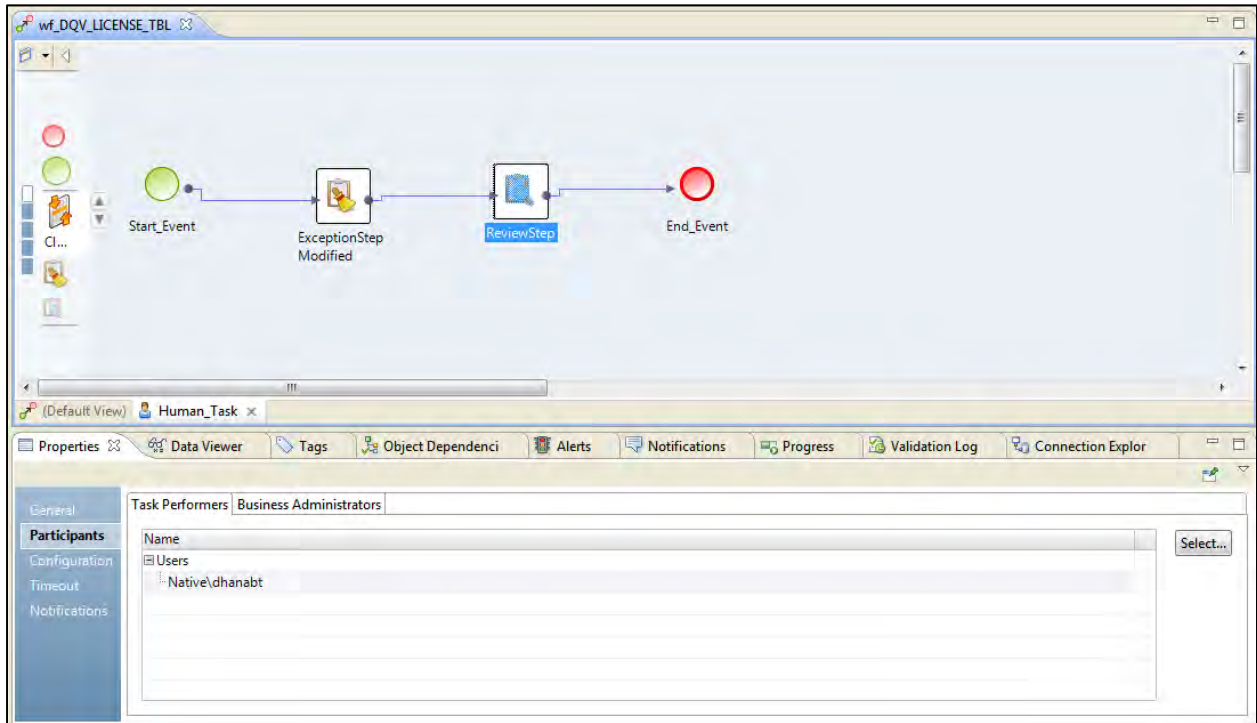
**Exhibit 45: IDQ Workflow Mapping with Human Task Automation. 2**

**Note:** Above screen displays, the Data Stewards who will be assigned the data exception for verification and validation.



**Exhibit 46: IDQ Workflow Mapping with Human Task Automation. 3**

**Note:** Above screen displays, the timeout period after which the data exceptions will be reassigned to other users.



**Exhibit 47: IDQ Workflow Mapping with Human Task Automation. 4**

**Note:** Above screen displays, the reviewers who will be assigned the data exceptions approved by data Stewards.






## Section 8 APPENDIX: SAMPLE SCREEN SHOTS FROM ENTERPRISE DATA PROFILE

The following slides are included to provide an overview of the Enterprise Data Profiling that was performed for FDACS.



### EP\_DOA\_SUNTRACK



Name	Found in Columns
Country	12
Geocode_Latitude	6
Geocode_Longitude	15
USZip_Sdigit	117
CompanyName	34
CountryCode_Phone	27
Email	15
FirstName	52
Gender	4

- Once an enterprise profile is run all of the columns(fields/attributes) are profiled and are classified into the data domains that are defined. Country, First Name, Zip, Address, etc. would be data domain pre defined by Informatica.

3 | Proprietary & Confidential



**Exhibit 48: DOA SUNTRACK Enterprise Profile**



## EP\_DOA\_SUNTRACK

CompanyName (34 columns)

Profile	Column Name	%Data Conform	Connection Na	Source Name	Inference Statu	%Nu	Total Row	Conforming Row
Profile_ADDRESSES	STATE_CODE	99.6	DOA_SUNT...	ADDRESSES	Inferred	0	1000	996
Profile_ADDRESSES_X	STATE_CODE	99.8	DOA_SUNT...	ADDRESSE...	Inferred	0	1000	998
Profile_ALLOCATIONS	FEE_TYPE	71.0	DOA_SUNT...	ALLOCATIONS	Inferred	0	1000	710
Profile_CEU_CLASS_LOCATIONS	CLASS_STATE	80.1	DOA_SUNT...	CEU_CLASS...	Inferred	6.8	1000	801
Profile_CEU_CLASSES	CLASS_STATE	95.2	DOA_SUNT...	CEU_CLASS...	Inferred	0	1000	952
Profile_CEU_PROVIDERS	BUSINESS_STATE	87.5	DOA_SUNT...	CEU_PROVI...	Inferred	0.5	1000	875
Profile_CEU_USR	BUSINESS_STATE	85.4	DOA_SUNT...	CEU_USR	Inferred	1.1	1000	854

- Each column is profiled by the data type that is assigned to the column so that a conforming number of recorded can be described and give you the capability to look at each column within a individual table profiles can be drilled down and explored for data cleansing.

3 Necessary & Confined



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### Exhibit 49: DOA SUNTRACK ADDRESSESS Address\_1 Statistics



## Prof\_DOA\_SUNTRACT\_ADDRESS

**prof\_DOA\_SUNTRACK\_ADDRESSES**

Column Profiling    Data Domain Discovery    Data Preview    Properties

prof\_DOA\_SUNTRACK\_ADDRESSES - Column Profiling

Name	Unique Value	% Unique	NULL	% Null	Datatype	% Inferred	Documented Datatype	Minimum Value	Maximum Value
▼ Source Name									
EID	454238	100.00	-	-	Integer(8)	100.00	number(15)	98368.00	56
OWNER_EID	265232	58.39	-	-	Integer(8)	100.00	number(15)	1.00	56
OWNER_TABLE	2	.01	-	-	String(9)	100.00	varchar2(30)	COMPAN...	PI
GROUP_CODE	7	.01	-	-	String(8)	100.00	varchar2(8)	DBA_WG	RL
ADDRESS_TYPE_CODE	3	.01	-	-	String(8)	100.00	varchar2(15)	BUSINESS	
START_DATE	9416	2.07	-	-	Date Time	100.00	date(19)	02/28/19...	12
STOP_DATE	7304	1.60	384352	84.81	Date Time	100.00	date(19)	03/10/19...	12
ADDRESS_1	306375	67.44	207	04	String(77)	100.00	varchar2(80)	rus	
ADDRESS_2	33582	7.39	392366	68.37	String(40)	100.00	varchar2(80)	po	
ADDRESS_3	1250	.27	452211	99.55	String(38)	100.00	varchar2(40)	PO BOX...	

- Within the individual profiles are then names of each column (attribute) that the table keeps records on. The Unique, Null, and not values are shown along with numbers and percentages to support the information. The columns data type and min/max values are shown here as well.

5 Proprietary & Confidential



### Exhibit 50: DOA SUNTRACT ADDRESSES TABLE



## EP\_DOA\_SUNTRACK

CompanyName (34 columns)

Profile -	Column Name	%Data Conform	Connection Na	Source Name	Inference Statu	%Nu	Total Row	Conforming Row
Profile_ADDRESSES	STATE_CODE	99.6	DOA_SUNT...	ADDRESSES	Inferred	0	1000	996
Profile_ADDRESSES_X	STATE_CODE	99.8	DOA_SUNT...	ADDRESSE...	Inferred	0	1000	998
Profile_ALLOCATIONS	FEE_TYPE	71.0	DOA_SUNT...	ALLOCATIONS	Inferred	0	1000	710
Profile_CEU_CLASS_LOCATIONS	CLASS_STATE	80.1	DOA_SUNT...	CEU_CLASS...	Inferred	6.8	1000	801
Profile_CEU_CLASSES	CLASS_STATE	95.2	DOA_SUNT...	CEU_CLASS...	Inferred	0	1000	952
Profile_CEU_PROVIDERS	BUSINESS_STATE	87.5	DOA_SUNT...	CEU_PROVI...	Inferred	0.5	1000	875
Profile_CEU_USR	BUSINESS_STATE	85.4	DOA_SUNT...	CEU_USR	Inferred	1.1	1000	854

- Each column is profiled by the data type that is assigned to the column so that a conforming number of recorded can be described and give you the capability to look at each column within a individual table profiles can be drilled down and explored for data cleansing.

3 Primary & Confidential



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### Exhibit 51: DOA SUNTRACK ADDRESSESS Fields



## UF Drill Down

Drill down: ADDRESS\_1 = 'UNIVERSITY OF FLORIDA' (First 100 rows only)

EID	OWNER_EID	OWNER_TABLE	GROUP_CODE	ADDRESS_TYPE_1	START_DATE	STOP_DATE	ADDRESS_1	ADDRESS_2	ADDRESS_3	CITY	COUNTY_CODE
2688000	2688799	PERSONS	RUPSTAFF	MAIL	2000-12-02 08...	NULL	UNIVERSITY O...	PO BOX 110690	NULL	GAINESVILLE	1
2645186	2645185	PERSONS	RUPSTAFF	MAIL	2000-12-02 08...	2007-04-16 00...	UNIVERSITY O...	PO BOX 110690	NULL	GAINESVILLE	1
3312768	3312756	PERSONS	RUPSTAFF	BUSINESS	2004-02-11 00...	NULL	UNIVERSITY O...	2199 SOUTH R...	NULL	FORT PIERCE	36
2819630	2634939	PERSONS	RUPSTAFF	BUSINESS	2000-12-11 00...	NULL	UNIVERSITY O...	2725 BINION R...	NULL	APOPKA	48
3149141	3149129	PERSONS	RUPSTAFF	BUSINESS	2002-02-05 00...	NULL	UNIVERSITY O...	2725 BINION RD	NULL	APOPKA	48
3665389	2696689	PERSONS	RUPSTAFF	BUSINESS	2001-05-30 00...	2005-06-29 00...	UNIVERSITY O...	1408 24T ST SE	NULL	RUSKIN	29
3718360	3718332	PERSONS	RUPSTAFF	BUSINESS	2001-07-10 00...	NULL	UNIVERSITY O...	27 BINION RD	NULL	APOPKA	48
3483570	2628522	PERSONS	RUPSTAFF	BUSINESS	2001-06-08 00...	2001-11-13 00...	UNIVERSITY O...	BREC PO BOX...	NULL	BELLE GLADE	50

- Upon using the drill down feature, you will get all the attributes associated with the EID number. This will allow you to look for duplicates or misleading information within each EID.



**Exhibit 52: DOA SUNTRACK ADDRESSESS Drill Down UF**

# FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

## INTERFACE PLAN

### *Interface Assessment and Implementation Plan*

Date: 07/14/2016  
Version: 200



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## REVISION HISTORY

DATE	AUTHOR	VERSION	CHANGE REFERENCE
02/22/2016	North Highland	001	Initial draft
3/1/2016	FDACS	001	FDACS Review
3/18/2016	North Highland	002	Remediated draft
4/4/2016	North Highland	003	AgCSS Interfaces for Release 2 & 3 added
4/5/2016	FDACS	003	Minor corrections after NH Remediation
4/7/2016	North Highland	004	Table adjustments for text cutoffs
4/7/2016	FDACS	004	Final corrections and amendments.
4/8/2016	North Highland	100	Baseline
07/14/2017	Charles Coldwell	200	Rebranding update

## Quality Review

NAME	ROLE	DATE
Jennifer Pang	North Highland QA	02/23/2016



## SECTION 1 OVERVIEW

This document provides interface information for the proposed Florida Department of Agriculture and Consumer Services (FDACS) proposed enterprise solution, Agriculture and Consumer Services System or AgCSS. This includes information which will be used by potential System Integrators (SI) to plan and cost the interface effort. This document also provides information on the proposed interface development and testing strategies. The SI should consider these strategies when planning the effort, but are also welcome to enhance and extend these strategies based on their project expertise. Finally, a sample Interface Design Document is included to show the different types of information that may be included as part of interface design.

### 1.1 BACKGROUND

FDACS is implementing a Regulatory Lifecycle Management System enterprise solution. The initial implementation is being performed in the Division of Licensing (DoL) and Division of Administration (DoA). This will require the development and implementation of the associated interfaces for those divisions. It should be noted that the AgCSS-related interfaces in the legacy systems will continue to be maintained until all of the organizations have been migrated to the enterprise solution.

FDACS development can currently be categorized as a loosely coupled federation (application and database development is managed by the individual departments and offices). While the benefits and requirements of federated development management are understood, this approach has also introduced certain interface challenges. One of which is a general lack of consistency on how interfaces are defined and managed. An example of this inconsistency is seen in Section 3.2 AgCSS Interface Definition. The other concern is the lack of consistent business rules within the interfaces. This inconsistency leads to costly data quality issues, and management of redundant rules significantly increases interface costs. Potential strategies for addressing these issues are described in Section 4 Interface Design Strategies.

### 1.2 KEY OBJECTIVES AND BENEFITS

The objective of this document is to provide potential SIs with the information they will need to estimate interface schedule and cost. Interfaces provide the means for interacting with other systems. They are often one of the most costly set of components to develop and maintain. This document provides the interface information needed for potential SIs to accurately cost and schedule this effort. Providing information on potential interface design strategies is done to provide insights into project and enterprise cost considerations. The ultimate goal is to reduce the cost of building and maintaining AgCSS interfaces.



## SECTION 2 ASSUMPTIONS

The final list of interfaces and their content are subject to change. The information contained in this document represents the interfaces at the time this document was created. This information should be reconfirmed prior to project start.

## SECTION 3 INTERFACE LIST

This section includes a matrix of interfaces associated with this project. Detailed interface descriptions can be found in *Section 7 Appendix*. The matrix is separated into two sections. “Interfaces Release 1” contains interface information for the first release. CRON jobs which mimic interface behavior are also included as part of Release 1 scope. “Enterprise Interfaces Release 2&3” list the remaining AgCSS interfaces which may need to be incorporated in subsequent releases. An excel version of the matrix can be found by clicking on the following link: [DACSO2-D6E-Interface-Inventory-v200.xlsx](#).

The following terms are used in Exhibits for the Matrix of Interfacing Systems for AgCSS:

- **ID** – Primary Key to uniquely identify each interface
- **Interface Name** – Name of the organization or system in which data is being transmitted
- **System** – Database type in which the interface exists
- **Internal or External** – Defines whether the interface is internal or external to the department, as well as if the interface is a file transfer (batch) or a web-based transfer of data
- **Frequency** – Defines the time and occurrence in which data is transmitted
- **Complexity** – Defines risk, time and effort associated to each interface
  - › **Low** – Internal interfaces to the department which are considered Synchronous
  - › **Medium** – Interface in which data is transmitted from the department to other organizations which are considered Asynchronous or Web Services
  - › **High** – Interfaces in which data is transmitted from the department to other organizations which are considered Asynchronous or Web Services that contain sensitive or confidential data
- **Exchange Method** – How data is transferred
- **Constraints** – Any constraints defined by the department for each interface
- **Description/Documentation** – General description of the interface as well as the organization the interface interacts and shares data with



Interfaces								
Release 1								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
<b>INTAKE</b>								
INT-01	IPM	SQL	Internal: Interface	Daily	Low	Scan	None	Collects all documents in an application which is sent to the mail room. Documents are scanned into the system and indexed into the database.
INT-02	WBFT	Oracle RDB/IPM	Web: Internal	Daily	Low	Web Service	None	Web based intake for Concealed Weapon initial applications. Documents are imported into IPM and Reflections updated. (Regional Offices)
INT-03	CWIS/CWRIS	Oracle RDB/IPM	File: Internal	Daily	Low	Web Service	None	Concealed Weapon initial applications intake. Documents are imported into IPM and Reflections updated. (Tax Collector)
INT-03.1	CWREX	Oracle RDB/IPM	File: Internal	Daily	Low	Web Service	None	Concealed Weapon renewal applications intake. Documents are imported into IPM and Reflections updated.
<b>FINANCIAL</b>								
INT-04	REV	DOL	File: Intraagency	Weekly	Low	Process is controlled via a host script; please note that the host script calls FTP and Oracle SQL Loader to perform these tasks.	None	Download and load DOL tax collector invoice file.
INT-05	Regional Offices	Oracle RDB	File: External	As Needed	High	Database Procedure	None	Documents are collected and sent to the main processing point in Tallahassee. Regional Offices Mail checks
INT-06	Revenue Receipt Accounting System (REV)	Oracle	File: External	As Needed	High	Database Procedure	None	Fiscal-related system.
INT-07	(ROC)	Oracle	File: External	As Needed	High	Database Procedure	None	Fiscal-related system.
INT-08	WBFT	Oracle RDB	Web: External	As Needed	Medium	Database Procedure	None	This system uses generic check out (DOA program) for accepting payment by credit card or e-check.
INT-09	BOA Settlement File Download	DOL	File: External	Sun-Sat AM	Medium	Host Script	None	Download Bank of America settlement file for DOL, FV, PI extracts (only DOL in use)
INT-10	BOA Settlement File Extract	DOL	File: Intraagency	Sun-Sat AM	Low	Host Script	None	Create Bank of America settlement file extracts for DOL, FV, PI (only DOL in use)
INT-11	FLAIR Transaction 90	REV & FINL	File: Interagency	M-F 4:00 PM	Low	Database Procedure	None	Upload FLAIR transaction 90's file
INT-12		REV & FINL	File: Interagency	M-F 4:00 PM	Low	Database Procedure	None	Create FLAIR transaction 90's file
INT-13	FLAIR Transaction 30 & 33	REV	File: Interagency	M-F 4:30 PM	Low	Database Procedure	None	Upload FLAIR transaction 30's file
INT-14		REV	File: Interagency	M-F 4:30 PM	Low	Database Procedure	None	Upload FLAIR transaction 33's file
INT-15		REV	File: Interagency	Created at operator discretion	Low	Database Procedure	None	Create FLAIR transaction 30's and 33's files
INT-16	BOA Reconciliation	REV	File: External	Ssun-Sat AM	High	Host Script	None	Download Bank of America settlement file for REV reconciliation

### Exhibit 1: Matrix of Interfacing Systems for AgCSS – Release 1



AUTHENTI- CATION								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
INT-17	Melissa Data	REV	Program: Intraagency	As Needed			None	Address validation.
INT-18	LICFingerprint	SQL	File: External	Daily and Weekly	High	File Transfer Protocol	Set by DoL, file is loaded to FTP server at top of hour,	Custom code (VB). Retrieves fingerprint result text file from an FDLE FTP server. Files result into IPM.
INT-19	Reflections	Oracle RDB	Interface: Internal	As Needed	Low	COTS Terminal Emulator for OpenVMS	None	Provides interface via created custom forms to interface with Oracle RDB
INT-20	Florida Department of Law Enforcement (FDLE) - MENTAL COMPETENCY (MECOM)	Oracle RDB	File: External	Weekly	High	File Transfer Protocol	None	File is dropped on FTP Server, picked up by DoL for processing. DoL code creates report based on file retrieved from FDLE.
INT-21	Florida Department of High Way Safety and Motor Vehicle (HSMV)	Oracle RDB	File: External	Monthly	High	File Transfer Protocol	None	File is dropped on FTP Server, picked up by DoL for processing. DoL code creates report based on file retrieved from HSMV.
INT-22	Florida Department of Corrections(DOC)	Oracle RDB	File: External	As Needed	High	File Transfer Protocol	None	File is dropped on FTP Server, picked up by DoL for processing. DoL code creates report based on file retrieved from DOC.
INT-23	CTR Manager	SQL/Oracle RDB	Interface: Internal	As Needed	Low	Visual Basic	None	Description – Custom code (VB) that provides interface from Oracle RDB to SQL (IPM) intended to replace Reflections. Used for investigative purposes.
INT-24	License Manager	SQL/Oracle RDB	Interface: Internal	As Needed	Low	Visual Basic	None	Description – Custom code (VB) that provides interface from Oracle RDB to SQL (IPM) intended to replace Reflections. Used for license issuance purposes.
INT-25	AA Manager	SQL/Oracle RDB	Interface: Internal	As Needed	Low	Visual Basic	None	Custom code (VB) that provides interface from Oracle RDB to SQL (IPM) intended to replace Reflections. Used for legal purposes.
INT-26	CW License Report	Oracle RDB	Interface: External	Daily	Medium	FTP	None	File dropped on FTP Server, picked up by FDLE. Contains all Concealed Weapon licenses within Oracle RDB.

**Exhibit 2: Matrix of Interfacing Systems for AgCSS – Release 1 (Cont.)**



Letter	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
LTR-01	TEMP G	MS Access	Process: Letter	As Needed	Low	Visual Basic	None	Custom code (VB) used by Regional Office for printing temporary G licenses.
LTR-02	Region Office Renewals	Oracle RDB/IPM	Process: Letter	As Needed	Low	Visual Basic	None	Renewals issued and printed in Regional Offices.
LTR-03	Checklist By License Type	SQL/Oracle RDB	Process: Letter	As Needed	Low	Visual Basic	None	Custom Code (VB) used by BLI to create of EO letters.
LTR-04	Denial	SQL/Oracle RDB	Process: Letter	As Needed	Low	Visual Basic	None	Custom Code (VB) used by BLI to create of denial letters.
LTR-05	Criminal History Denial	SQL/Oracle RDB	Process: Letter	As Needed	Low	Visual Basic	None	Custom Code (VB) used by BLI to create of criminal history letters.
LTR-06	SmartSource coupon processing: Consumer Services	SQL	Process: Letter	As Needed	Low	Oracle database procedure	None	SmartSource coupons are processed using COTS product Aperta running against a SmartSource machine (Burroughs). The file created by the Aperta software is exchanged with the Oracle host via FTP. REV.REVK012_PROCESS_REMIT_SS.LOAD_DATA
LTR-07	SmartSource coupon processing: Food Safety	SQL	Process: Letter	As Needed	Low	Oracle database procedure	None	SmartSource coupons are processed using COTS product Aperta running against a SmartSource machine (Burroughs). The file created by the Aperta software is exchanged with the Oracle host via FTP. REV.REVK012_PROCESS_REMIT_SS.LOAD_DATA
LTR-08	SmartSource coupon processing: AES Pesticide Registration	SQL	Process: Letter	As Needed	Low	Oracle database procedure	None	SmartSource coupons are processed using COTS product Aperta running against a SmartSource machine (Burroughs). The file created by the Aperta software is exchanged with the Oracle host via FTP. REV.REVK012_PROCESS_REMIT_SS.LOAD_DATA
LTR-09	SmartSource coupon processing: AES Licenses	SQL	Process: Letter	As Needed	Low	Oracle database procedure	None	SmartSource coupons are processed using COTS product Aperta running against a SmartSource machine (Burroughs). The file created by the Aperta software is exchanged with the Oracle host via FTP. REV.REVK012_PROCESS_REMIT_SS.LOAD_DATA
LTR-10	SmartSource coupon processing: AES LIMS	SQL	Process: Letter	As Needed	Low	Oracle database procedure	None	SmartSource coupons are processed using COTS product Aperta running against a SmartSource machine (Burroughs). The file created by the Aperta software is exchanged with the Oracle host via FTP. REV.REVK012_PROCESS_REMIT_SS.LOAD_DATA

**Exhibit 3: Matrix of Interfacing Systems for AgCSS – Release 1 (Cont.)**



<b>CRON</b>							
<b>Jobs</b>							
<b>ID</b>	<b>Interface Name</b>	<b>System</b>	<b>Internal or External</b>	<b>Frequency</b>	<b>Complexity</b>	<b>Exchange Method</b>	<b>Description/Documentation</b>
CRN-1	Authoria.net	CAREERS	External	Hourly	Low	Script	DACS Requisitions/Positions
CRN-2	FLAIR	REV	External	Daily	Low	Script	Fleet Property master file /Trans51/th4200 file
CRN-3	TechRadium	IRML	External	MWF	Low	Script	IRIS Data Transfer/DACS table
CRN-4	CitraNet	FAVR	External	Daily	Low	Script	Brix Acid data from the processor scale house.
CRN-5	FreshNet	FAVR	External	Daily	Low	Script	Certificate and Manifest data from Citrus Cannery and Packing house.
CRN-6	DMS/Dept. of Citrus	FAVR	External	Daily	Low	Script	Get P4202 files from agcpftp. Citrus dealer License and Bond data.
CRN-7	DFS	CATS	External	Daily	Low	Script	Put and Get Contract files
CRN-8	HSMV	DRVLIC	External	Monday	Low	Script	Put and Get Driver's license data
CRN-9	Wright Express	FCB	External	Daily	Low	Script	Fuel Card Transaction file
CRN-10	DMS	FCB	External	Monthly	Low	Script	Put FDACS fleet file with wex data
CRN-11	DMS	FIS	External	Monthly	Low	Script	Get Commodity Codes
CRN-12	Bank of America	REV	External	Daily	Low	Script	Get transaction activity files and process
CRN-13	t1hdolftp01	REV	Internal	Monday, Tuesday	Low	Script	Get DOL data file and load into Rev Tax Collector's Invoice
CRN-14	SAMAS	REV	External	Tuesday - Saturday	Low	Script	Get data to load SAMAS_TRANS_HIST

**Exhibit 4: Matrix of Interfacing Systems for AgCSS – Release 1 CRON Jobs which act as pseudo interfaces**



<b>Enterprise Interfaces Release 2 &amp; 3</b>								
<b>AES</b>								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
AES-01	AES Laboratory Information Management System (AES-LIMS)	Oracle	Both internal and external	Live data view	High	Oracle database procedures, oracle views and .net C#	None	Licensing and reporting, invoicing, tonnage details.
AES-02	Agricultural Environmental Services Suntrack System	Oracle	Internal Application interface	Live data view	High	Oracle View and Visual Basic	None	Document Imaging : Interface between the SUNTRACK Oracle system and the current document management system to link to metadata for a single source of reference.
AES-03	DOI Database	MS Access	Internal Application interface	Live data view	Medium	MS Access and VBA	Local version upload to network folder headquarters version	Prepares time and vehicle tracking as well as visits made for regulator activity.
AES-04	Aircraft Registration Database	Oracle	Both internal and external	Live data view	Medium	Oracle View and database procedures and .net C#	None	Registers and renews certification for aerial pesticide applicator tracking.
AES-05	Compliance DB30 Database	MS Access	Internal Application interface	Live data view	Medium	MS Access and VBA	None	Track enforcement and compliance activity for BLE.
AES-06	EIS - AES Image Applications	Oracle	Internal Application interface	Live data view	Medium	Oracle View and database procedures and Visual Basic	None	Document Imaging : Interface between the SUNTRACK Oracle system and the current document management system to link to metadata for a single source of reference.
AES-07	Electronic Fumigation Notice Submissions	Oracle	Both internal and external	Live data view	Medium	Oracle View and database procedures and classic ASP	None	Track fumigation activity, treat and release, inspections, etc.
AES-08	Pesticide Applicator Continuing Education Units	Oracle	Both internal and external	Live data view	Medium	Oracle View and .net C#	None	Track and apply CEU credits for new and renewal licensure or certification.
AES-09	Registration Tracking System	Oracle	Both internal and external	Live data view	Medium	Oracle Views and database procedures and Oracle web forms and reports	None	Pesticide brand registration and tracking.
<b>AG Law</b>								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
AGL-01	ACISS Case Management	SQL	Internal	Daily	Medium	Query sends any closed case information	None	Sends data to FDLE.
AGL-02	Bill Of Lading Scanning System	Oracle	Internal	Daily	Medium	Oracle Procedure	None	Info from Stations sent to processing server which pushes out to DoR and other Divisions.
AGL-03	Commerce Transport Imaging System	Oracle	Internal	Hourly	Medium	Oracle Procedure	None	We receive data from Dot for PRISM/FHP Hot list for outstanding fines. If we get a hit the Officer calls FHP to collect the fine before the vehicle is allowed to proceed.
AGL-04	Tag Recognition System	Oracle	Internal	Daily	Medium	Oracle Procedure	None	We receive data from Dot for PRISM/FHP Hot list for outstanding fines. If we get a hit the Officer calls FHP to collect the fine before the vehicle is allowed to proceed.

**Exhibit 5: Matrix of Interfacing Systems for AgCSS – Release 2&3**





Agriculture								
Water								
Policy								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
AGP-01	Best Management Practices Tracking System	SQL	Internal	Live	Medium	.NET front end MS SQL backend	None	There is no interface with other systems at this time.
Animal								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
ANM-01	Animal Industry Florida Poultry Database	Oracle, GIS	Internal	Daily	Medium	Web app server to/from DB server. Nightly batch job to internal GIS DB.	None	This is a database of the standardized poultry data with forms that allow animal industry to maintain the database with new and updated data for registrations.
ANM-02	Animal Industry Laboratory Information Management System	SQL	Internal and External	Daily	High	The LIMS system sends data using XML formatted reports to various external groups (i.e. NAHLN, USAHERDS, and GVL).	None	Likely will not be part of RLMS. This application is used by the labs.
ANM-03	Daily Activity Report	Oracle	Internal	Daily	Low	Web app server to/from DB server.	None	This application is used for tracking and reporting of field inspectors daily activities for the bureau of animal disease control via the intranet. Items tracked include specific field activity and day it occurred; hours, miles, location, contact person and Notes; and program or mandated data specific to an activity. The application also captures additional budget performance measure information to facilitate reporting the USDA Cooperative agreements and reports.
ANM-04	Feral Swine Trappers and Holders	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	This MS Access application is used for the registration of feral swine trappers and feral swine holding facilities. Feral swine holding facilities are required to be inspected annually. No fees are collected.
ANM-05	Garbage Feeders Database	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	Access database for program permitting of the applications to feed garbage to swine. Once requested, an inspector is dispatched to inspect application is completed and sent to head quarters for issuance of permit.
ANM-06	Global Vet Link Electronic Health Certificates	Data downloads	External	Daily	Low	Web app server to/from DB server.	None	External resource that is used to download information from.
ANM-07	Horse Quarantine Permit	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	This MS Access application tracks permitted horse quarantine facilities.
ANM-08	Master Brand Record	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	Proprietary database used to keep pictures of brands used on livestock. It is an off-the-shelf system written in access.
ANM-09	Master Carcass Haulers/Refuse	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	Database collected for application and permitting of haulers of animal carcasses and refuse.
ANM-10	Master Cervidae Herd Plan/Permits	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	Access Database for herd plan/owner data and permitting.
ANM-11	Master Equine Extension	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	Access database that stores permit information for extension of health permit for up to six months so horses can be taken out-of-state for
ANM-12	Master Livestock Haulers	MS Access	Internal	Daily	Low	Web app server to/from DB server.	None	Database tracks permits issued to livestock haulers.
ANM-13	Reportable Animal Disease	Oracle	Internal	Daily	Low	Web app server to/from DB server.	None	This system is used to track local and regionally identified animal diseases. It is an intranet application with external users having FDACS network accounts. It is used to alert the Florida Department of Health, Division of Environmental Health of those identified issues which may
ANM-14	Standard Premises Registration System(Federal System)	Data downloads	External	Daily	Low	Web app server to/from DB server.	None	This is a federal site used by Animal Industry to input data from premises ID applications.

**Exhibit 6: Matrix of Interfacing Systems for AgCSS – Release 2&3 (Cont.)**



Aquaculture								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
AQC-01	Aquaculture Certification Program	Access	Internal	Daily	Low	Database procedure to upload inspections to parent database on share drive.	None	Captures all certificate and site visit data. Interface is self contained and doesn't connect to any other systems. Payments are reconciled with cash sheets with a simple
AQC-02	Aquaculture Lease Database	Access	Internal	Daily	Low	Database procedure to upload inspections to parent database on share drive.	None	Captures all lease data. Interface is self contained and doesn't connect to any other systems. Payments are reconciled with cash sheets with a simple query.
AQC-03	Apalachicola Bay Oyster Harvesting License	Access	Internal	May, June, July, part of August	Low	Database procedure to upload inspections to parent database on share drive.	None	Captures all Apalachicola Bay Harvesting License data. Interface is self contained and doesn't connect to any other systems. Payments are reconciled with cash sheets with a simple query.
AQC-04	Shellfish Shippers Database	Access	Internal	Daily	Low	Database procedure to upload inspections to parent database on share drive.	None	Captures all shellfish shippers data. An inspection front end interface is connected to this database for uploading inspection data. No payments required for this system, although fines are manually logged and notes are entered when paid. Administrative clerk's website is used to reconcile.
Consumer Services								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
CNS-01	LIMS--Anti-freeze and Brake fluid	Oracle	Internal	Daily	Medium	Oracle forms, Kofax Capture data entry, CSAPP Online inputs.	Availability of Internet for CSAPP online inputs. Kofax Caputue server online. Network server TLHADM004 online for staging images from Kofax Capture application.	This system allows the bureau labs the ability to manage laboratory process and data. The application provides the following functionality: administrative set-up functions; sample log-in; data upload; data review and authorization; data and statistical reports; antifreeze & brake fluid permitting; penalty module; training/proficiency module; document control charts; non-conformance report module; standards tracking.
CNS-02	Metrology (metered devices)	Oracle	Internal	Daily	Medium	Same	Same	This system permits all the private industry meter mechanics statewide. Meter mechanic clinics are held biannually by the Bureau of Standards for device testing
CNS-03	DOCS--Business Opportunities Franchises	Oracle	Internal	Daily	High	Same	Same	Description not provided
CNS-04	DOCS--Continuing Education Provider	Oracle	Internal	Daily	Medium	Same	Same	Description not provided
CNS-05	DOCS--Do Not Call List	Oracle	Internal	Daily	Medium	Same	Same	Provides a subscription service to the residents of Florida to have phone number placed on do not call list to prevent business from calling subscribers home phone number. This list is sold to businesses involved in sales using the telephone as a means to contact customers.

**Exhibit 7: Matrix of Interfacing Systems for AgCSS – Release 2&3 (Cont.)**



Consumer Services								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
CNS-06	DOCS--Game Promotion	Oracle	Internal	Daily	Medium	Same	Same	Description not provided
CNS-07	DOCS--Health Studios	Oracle	Internal	Daily	Medium	Same	Same	Description not provided
CNS-08	DOCS--Intrastate Movers	Oracle	Internal	Daily	Medium	Same	Same	Description not provided
CNS-09	DOCS--Mediation and Enforcement	Oracle	Internal	Daily	Medium	Same	Same	This module handles mediation of complaints against regulated and non-regulated entities. The mediation of complaints against regulated entities allows the division to draw on bond posted in compliance. For non-regulated entities, mediation is limited to mediation efforts. Database includes final orders and administrative actions from the investigations section.
CNS-10	DOCS (and Access)--Meter Mechanics	Oracle	Internal	Daily	Medium	Same	Same	This Access system permits all the private industry meter mechanics statewide. Meter mechanic clinics are held biannually by the Bureau of Standards for device testing and permitting.
CNS-11	DOCS--Motor Vehicle Repair	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-12	DOCS--Pawnshops	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-13	DOCS--Petroleum (wholesale and retail)	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-14	DOCS--Professional Surveyors and Mappers	Oracle	Internal	Daily	Medium	Same	Same	The division is acquired the surveyors and mappers program from DBPR. This is a regulatory program involving the approval and discipline of professional licenses. This program will issue licenses by reviewing initial applications for licensure, which will include education, experience, and testing components. The program will also track continuing education providers and courses; receive complaints and conduct investigations regarding the actions of the professional licensees and unlicensed individuals and businesses.
CNS-15	DOCS--Scales and Other Measuring Devices (inspection results; excluding petroleum; including wholesale and retail)	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-16	DOCS--Sellers of Travel	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-17	DOCS--Solicitation of Contributions	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-18	DOCS--Telemarketing	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-19	DOCS--Weights and Measure Permitting System (permitting)	Oracle	Internal	Daily	Medium	Same	Same	Description not provided.
CNS-20	Fair Ride Database	MS Access	Internal	Daily	Medium	Same	Same	Access application tracks the inspections of fair rides in the state. This application is being rewritten in Oracle.
CNS-21	LP Gas	Oracle	Internal	Daily	Medium	Same	Same	Tracks LP Gas field inspections and license renewals and associated revenue. The LPGAS system also includes the qualifier's information on courses and training they have received. The course information and location will also be included in LPGAS schema. LPGAS is part of the e-commerce system which allows the LPGAS companies to do license renewals, register for classes and register for exams via the internet.

**Exhibit 8: Matrix of Interfacing Systems for AgCSS – Release 2&3 (Cont.)**



FFS								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
FFS-01	Florida Fire Management Information System	BING	External	24/7/365	Complex	Web service	None	Bing basemap for all FMIS modules.
FFS-02	Florida Fire Management Information System	NOAA Dispersion	External	24/7/365	Complex	FTP / scripting	None	Fallback Nighttime dispersion index selected by spatial query and weather station
FFS-03	Florida Fire Management Information System	NOAA NAM	External	Twice a day: 11:00pm & 11:00am	Complex	FTP	None	Download NAM data from NOAA for WRF model
FFS-04	Florida Fire Management Information System	USGS	External	24/7/365	Complex	Web service	None	Back up USGS mapping provided in ArcGIS format
FFS-05	Florida Fire Management Information System	Melissa Data	External	24/7/365	Complex	Web service	None	Geo coding for locations in Dispatch Module
FFS-06	Florida Fire Management Information System	Google Play Store	External	24/7/365	Complex	Upload / download	None	Mobile application menuing to mobile enable web applications
FFS-07	Florida Fire Management Information System	NOAA Research	Internal/scripting from Oracle	3 times a day	Complex	SFTP	None	Provide active OBA information for research.
FFS-08	Florida Fire Management Information System	Apple App Store	External	24/7/365	Complex	Upload / download	None	Mobile application menuing to mobile enable web applications
FFS-09	Florida Fire Management Information System	NIFC	External	during active wildfire seasons	Complex	Geodatabase export FTP	None	Wildfire information geodatabase
Food Safety								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
FDS-01	Document Control and Training Tracking	SQL Server	COTS application, Internal	Live data edit and view	Medium	N/A	None	Division is using the Interax/Paradigm3 COTS solution to manage document control and training processes for the division to enable the labs to meet ISO17025 requirements. This system tracks document revisions, reviews, and approvals issuance/publication/retirement, tracking of version/status and location of electronic and hardcopies; retrieval and retention of hardcopies and/or electronic copies of retired versions for external and internal controlled documents. Paradigm3 also has a training solution that allows customizing training to employee roles, tracking
FDS-02	Food Inspection Management System (FIMS)	Oracle	Web application, Internal	Live data edit and view	High	Oracle DB, procedures, cron jobs	None	FIMS exchange data with Revenue systems. FIMS also exchange data with FSLIMS.
FDS-03	Food Safety Laboratory Information Management (FSLIMS)	Oracle	Distributed Windows application,	Live data edit and view	high	Oracle DB, procedures, cron jobs	None	FSLIMS exchange data with FIMS
FDS-04	Regulatory Information Management System (Dairy)	MS Access	Internal	Live data edit and view	Medium	E-mail (attachment)	None	IMS record request send to FDA per quarter

**Exhibit 9: Matrix of Interfacing Systems for AgCSS – Release 2&3 (Cont.)**



Food Safety								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
FDS-01	Document Control and Training Tracking	SQL Server	COTS application, Internal	Live data edit and view	Medium	N/A	None	Division is using the Interax/Paradigm's COTS solution to manage document control and training processes for the division to enable the labs to meet ISO17025 requirements. This system tracks document revisions, reviews, and approvals. Issuance/publication/retirement, tracking of version/status and location of electronic and hardcopies; retrieval and retention of hardcopies and/or electronic copies of retired versions for external and internal controlled documents.
FDS-02	Food Inspection Management System (FIMS)	Oracle	Web application, Internal	Live data edit and view	High	Oracle DB, procedures, cron jobs	None	FIMS exchange data with Revenue systems. FIMS also exchange data with FSUIMS.
FDS-03	Food Safety Laboratory Information Management (FSLIMS)	Oracle	Distributed Windows application, Internal	Live data edit and view	High	Oracle DB, procedures, cron jobs	None	FSLIMS exchange data with FIMS
FDS-04	Regulatory Information Management System (Dairy)	MS Access	Internal	Live data edit and view	Medium	E-mail (attachment)	None	FIMS record request send to FDA per quarter
Fruit & Veg								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
FRV-01	Brix Acid Unit System	Proprietary processor truck scale programs	File: External	As needed	High	File Transfer Protocol / Serial communication	File format for samples and truck files.	Processor send truck information and we send sample information back to them when completed.
FRV-02	CitraNet	E-Gov	File: Internal	As needed	High	Stored Procedure	None	CitraNet Depends on E-Gov to validate the users who can access the system. After a payment is done, stored procedures trigger to modify tables cnuser and cnmsist.
FRV-03	CitraNet	FAVR	File: Internal	As needed	High	Stored Procedure	None	Same as before. FAVR is also involve in the validation of
FRV-04	CitraNet	BAU	File: External	hourly	High	File Transfer Protocol / ssh and rsync	None	All data comes from the BAU units. Every hour data is downloaded and put in a shared folder that later on thru a script insert the data in Oracle CitraNet schema.
FRV-05	EQUIP	FAVR	File: Internal	As needed	High	After extracting the data from EQUIP units, data entry manipulates and validates data. Then manually enter information in FAVR for billing.	None	This application provides the Division of Fruit and Vegetables the capability to collect peanut sampling data from buying points (approx. 20) located around the state. Data collected provides a record of inspections services provided to the industry as well as the timely and accurate billing information required by the state fiscal department. Data is manually input into the FAVR system. It should be noted that this application is mission critical only during peanut season which is August to November.
FRV-06	FreshNet	FAVR	File: Internal	As needed	High	File Transfer Protocol	Packing houses load files when they can	The files for new manifests are loaded directly by the packing houses. This information then is transferred to FAVR
FRV-07	FreshNet	Citranet	File: Internal	As needed	High	Stored Procedure	None	FreshNet system goes thru CitraNet tables to validate access. FreshNet is contained inside CitraNet.
FRV-08	Fruit and Vegetable System--Processors, Growers, Haulers	Citranet	File: Internal	As needed	High	Manual Input, Stored Procedure	None	Manually grant access to the users to CitraNet
FRV-09	Fruit and Vegetable System--Citrus Dealers	Reports	File: Internal	As needed	High	File Transfer Protocol	None	Sent to and shared with industry. Not direct interface.
FRV-10	Fruit and Vegetables System--Growers, handlers, packers, shippers	FAVR	File: Internal	As needed	High	File Transfer Protocol	None	This is the Division of Fruits and Vegetables' main application (otherwise known as FAVR). It currently consists of twelve modules and includes vegetable billing, citrus billing, license and bond, and accountns receivable. The business areas that are associated with each module are listed below.
FRV-11	Fruit and Vegetables--Growers, handlers, packers, shippers (Accounts)	FAVR	File: Internal	As needed	High	File Transfer Protocol	None	Description not provided.
FRV-12	Fruit and Vegetables--Growers, handlers, packers, shippers (Fisca)	FAVR	File: Internal	As needed	High	File Transfer Protocol	None	Description not provided.
FRV-13	Fruit and Vegetables--Growers, handlers, packers, shippers (Inspection and personnel)	FAVR	File: Internal	As needed	High	File Transfer Protocol	None	Description not provided.
FRV-14	Fruit and Vegetables--Growers, handlers, packers, shippers of fresh citrus (Statistics)	FAVR	File: Internal	As needed	High	File Transfer Protocol	None	Sent to and shared with industry. Not direct interface.
FRV-15	Mobile Inspection Program (Tomatoes)	FAVR	File: Internal	As needed	High	File Transfer Protocol	None	Mobile inspection application to replace paper inspection forms for tomato quality inspections and food safety audits. USDA and Florida tomato quality inspections and food safety audits. Inspection certificates will be manually loaded in the FAVR system. BasicGov is the vendor. System in
FRV-16	Shell Stock, MicroMation (Peanuts)	FAVR	File: Internal	As needed	High	File Transfer Protocol	None	This program is being used for a long time without a license (MicroMation is closed for business since 2006) and the only thing this program does is print a final certificate. Don't have much information about it.

Exhibit 10: Matrix of Interfacing Systems for AgCSS – Release 2&3 (Cont.)



Plant								
ID	Interface Name	System	Internal or External	Frequency	Complexity	Exchange Method	Constraints	Description/Documentation
PLT-01	Citrus Budwood Database	CBR	Internal	when new data added	Low	Database Procedure	None	DOA to put out address data and address validation
PLT-02	Citrus Germplasm Introduction System	CIGP	Internal	when new data added	Low	Database Procedure	None	DOA to put out address data and address validation
PLT-03	Plant Inspection Trust Revenue System	PITR	Internal	when new data added	Low	Database Procedure	None	DOA to put out address data and address validation
PLT-04	Pest Incidence Control System	PICS	Internal	when new data added	Low	Database Procedure	None	DOA to put out address data and address validation
PLT-05	Laboratory Identification Sample Tracking System	LIST	Internal	when new data added	Low	Database Procedure	None	DOA to put out address data and address validation
PLT-06	Agricultural Geospatial and Tabular Data Application	AGData	Internal	when new data added	Low	Database Procedure	None	DOA to put out address data and address validation

**Exhibit 11: Matrix of Interfacing Systems for AgCSS – Release 2&3 (Cont.)**

## SECTION 4 INTERFACE DESIGN STRATEGY

This section includes a proposed team structure, including roles and responsibilities to coordinate, design and develop the interfaces from the legacy systems to the new enterprise solution. Included are legacy system interfaces and their description documents. The interface strategy will also list high-level documentation requirements, types of tools used to document interface-related work (e.g., Visio, MS Word), which areas would be responsible for the various forms/deliverables and a high-level description of the documentation process. The interface design strategy describes an aspirational approach to evaluating, coordinating and developing new or replacement interfaces during the implementation of the AgCSS.

Interface changes to either the legacy or enterprise systems will require coordination across both systems. Initially, this could drive up the costs of maintaining two sets of interfaces. The cost of maintaining two sets of interfaces will eventually be offset by the reduction of internal interfaces no longer required to share data across an enterprise database.

There are several potential strategies for managing interfaces as part of the AgCSS transition. The incremental implementation of an enterprise solution will likely drive the need for parallel external interfaces (e.g., for legacy and incremental enterprise solutions). This will require a new enterprise-wide level of interface coordination. Generally this type of coordination is achieved through the use of configuration governance processes and tools. The goal is to manage interdependent resources together. For instance, procedures for changing interface data definitions should be coordinated across the impacted areas. This is especially important for interfaces involving external organizations which may require considerable lead time.

Certain types of enterprise data tools can help automate the data synchronization process. In some cases, these tools act as a replacement for custom interfaces. For instance, some enterprise solution vendors provide data migration tools which could be used to map legacy and enterprise data definitions, then generate the required migration code. Another option would be the purchase of an Extract, Transform and Load (ETL) tool.

The planned incremental interface transition approach may result in orphan interfaces if a total enterprise solution is not implemented. In other words, there may be a permanent need to



maintain both sets of interfaces even if just one of the divisions does not migrate to the enterprise solution. One possible interface strategy would be to transition all of the legacy interfaces to an “enterprise migration” or “ETL” tool as part of the initial migration effort. This would be in direct contrast to incrementally transitioning interfaces as divisions are migrated at the end of each release. Bringing legacy and enterprise interfaces into an integrated interface tool would streamline and simplify the maintenance of the two separate sets of interfaces. Both sets of interfaces could share common sets of validation and transformation rules. Mapping synchronization would also be streamlined. Transitioning to an enterprise interface tool at the beginning of the project doesn’t reduce the likelihood of orphans, but it would reduce the cost impact of maintaining two sets of interfaces.

Interface design and development requires coordination between multiple parties that may include system integrator, other state or local agencies and private third-party data providers.

#### 4.1 PROPOSED TEAM STRUCTURE

The proposed team structure for the efficient development of interfaces includes delivery oversight, design and development resources. The following interface roles have been defined, but may be played by multiple resources:

- **Interface Lead** – The interface lead serves to drive and coordinate the design and development of the interfaces.
- **Business Service Designer** – The business service designer evaluates the required business need and provides the data and service governance insight and guidance to make certain that there is clear communication with the Integration Designer. They also coordinate communication with the third-party interface consumer or provider to translate their business requirements or restrictions into the overall scope of the integration or published service.
- **Integration Designer** – An integration designer translates the business design into technical specifications.
- **Interface Developer** – The interface developer executes on the designs provided by the interface designer. They code the procedures, methods and routines to create the executables required, and unit test them to implement the interface.

#### 4.2 PRINCIPLES OF INTERFACE DESIGN

The principles of interface design include the evaluation and analysis of the interchanging systems. These principles include the feasibility of using real-time services to interact with the external party, the capabilities of that system and the technical barriers that may exist. Consideration must also be given to the data exchanged for the development of proper security protocols and protections.

Use of the interfacing data is another important consideration in the principles of design. The business value should be determined so that interfaces are not over-engineered or made more complex when the business use does not support it. This is mostly attributed to the push for



real-time service interactions when the data being requested is only updated daily. This is not to say that a movement away from a real-time interface is realistic, but the evaluation of the data and business use should be a consideration in the interface design.

### 4.3 INTERFACE DOCUMENTATION

The following is a link to a sample Interface Design Document: [IDD.doc](#). This example was taken from SAP templates found in the Accelerated Systems Application and Products (ASAP) methodology. While the exact content will be dependent of the enterprise solution being used, this example is representative of the procedures and documentation used to develop an interface for an enterprise solution.

## SECTION 5 TESTING STRATEGY

This section will describe a high-level process for testing of interfaces, as well as describe the interface testing objectives and scope along with any perceived risks that would affect the testing process. The section will also include an outline of proposed resources, roles and responsibilities.

### 5.1 PROCESS FOR TESTING AND APPROVAL OF INTERFACES

The testing strategy should include both isolated and integrated testing with the overall technical solution.

Isolated testing provides the ability for interface components to be tested individually without interfering with the application configuration process encapsulated in its own environment. Isolated testing may require the additional development of test harnesses that simulate the connection and response to an outside source, and provide calculated and controlled response messages to support thorough unit testing of the interface componentry. The test harness is generally distributed to the interface developers so they may incrementally unit test their build as they are constructing the code from the provided design documentation.

Integrated testing includes the complete string testing from the hosted interface code to the trading partner. The trading partner is the external target the interface transacts with. Integrated testing takes strict coordination and communication with the trading partner to set up specific testing scenarios and responses to interface messages/files. Accurate interface specifications and the proper setup of test data are critical to validating the operation of the interface between the parties, and will support an efficient execution of this testing phase.

### 5.2 RESOURCES, ROLES AND RESPONSIBILITIES

- **Interface Lead** – The Interface Lead provides the guidance and the management for the development of the test harnesses and verification of unit testing by the interface developers.





- **Test Lead** – The Test Lead works with the Interface Lead, and coordinates with the Trading Partner for the execution of Integration Testing. The Test Lead also oversees the tracking of results and disposition of integration test issues back into the results work stream, and communicates back to the Interface Lead.
- **Trading Partner** – The Trading Partners works with the Interface Lead and Test Lead to maintain and coordinate the test target system and any data fabrication required to verify the mutually agreed upon test cases.



## SECTION 6 IMPLEMENTATION STRATEGY

This section will document coordination considerations and associated risks in the interface implementation.

The phased implementation of this enterprise solution will drive a continued need to support the legacy interfaces. This will potentially require the synchronization of changes to interfaces across legacy and enterprise solutions. The need for maintaining both sets of interfaces will likely continue until the enterprise solution has been deployed across all divisions. The risk will be present as long as divisions remain on the legacy interfaces, so FDACS will have to maintain both sets of interfaces.

One approach might be to begin the transition to an enterprise interface management approach which centralizes interface management. Managing all of the application interfaces can be a costly, time-intensive burden for IT and FDACS. Certain vendors provide interface tools and an intuitive, harmonized environment to quickly develop and deploy new, compliant interfaces and empower business users themselves to monitor and troubleshoot processing issues.

### 6.1 COORDINATION AND RISKS

The phased implementation of this enterprise solution will potentially require the synchronization of changes to interfaces across legacy and enterprise solutions, and drive a continued need to support the legacy interfaces. This support of parallel interfaces increases costs while providing minimal business value. The quicker these parallel interfaces can be eliminated, the more money that can be directed to higher business value activities.

As said earlier, many of the existing internal interfaces may no longer be required because of improved data integration in the enterprise system. The new set of internal interfaces are planned to be implemented incrementally as the enterprise solution is rolled out in the various releases. In some cases, divisions may see benefits to implementing a new interface before their implementation of the enterprise system. This should be permitted as long as a business justification can be made and the new interface can be implemented in that division without disrupting the overall enterprise implementation.

External interfaces require much more extensive coordination. In the best of situations, coordinating interface changes, testing and implementation across agencies can be problematic. They often have conflicting priorities and schedules. Regulatory restrictions on data sharing can cause additional issues. The simplest level of coordination would be to ban any changes to the external interfaces. A less draconian approach might be to require a business case justification for any changes to external interfaces. This would limit changes while providing the flexibility to implement truly beneficial enhancements.



## SECTION 7 APPENDIX

The following are the actual interface definitions as they existed during the drafting of this document. These interface definitions were developed over time and in various formats.

### 7.1 AgCSS INTERFACE DEFINITIONS

#### 7.1.1 INT 01

##### [INT-01-IPM](#)

Document is embedded into this Deliverable due to length.

#### 7.1.2 INT 02 AND 05

The formats for INT 02 and INT 05 are identical and contain information that is captured and processed by the Division of Licensing for application and renewals. INT 02 is done using Web-Based Fast Track while INT 05 is done at a Regional Office. Applicants can use the FastTrack system to submit applications which interfaces with their current Legacy system. They can also submit a manual paper application which is sent to the Central Office for intake processing like a mailed in application. Regional Offices can use the Legacy system for renewals.

**INT 02** – Web-based intake for Concealed Weapon initial applications; Documents are imported into IPM and Reflections are updated (Regional Offices).

**INT 05** – Documents are collected and sent to the main processing point in Tallahassee; Regional Offices Mail checks.

DATABASE : WBFT

TABLE tblImages

```
[ImageID] [int] IDENTITY(1,1) NOT NULL,
[TrackingNumber] [nvarchar](50) NULL,
[ImageFileTypeID] [int] NULL,
[ImageDocTypeID] [int] NULL,
[ImageTitle] [nvarchar](50) NULL,
[ImageDescription] [nvarchar](50) NULL,
[ImageOtherText1] [nvarchar](50) NULL,
[ImageOtherText2] [nvarchar](50) NULL,
[dtCreated] [datetime] NULL,
[dtDeleted] [datetime] NULL,
[notes] [varbinary](max) NULL,
[Source] [nvarchar](max) NULL,
[ImageBits] [image] NULL,
```

Primary Key: ImageID - Clustered

TABLE [tblImages.ImageDocTypes]

```
[ImageDocTypeID] [int] IDENTITY(1,1) NOT NULL,
```



```
[ImageDocTypeShortName] [nvarchar](50) NULL,  
[ImageDocTypeFriendlyName] [nvarchar](50) NULL,  
[bDeleted] [bit] NULL,
```

Primary Key: ImageDocTypeID - Clustered

```
TABLE [tblImages.ImageFileTypes]  
[ImageFileTypeID] [int] IDENTITY(1,1) NOT NULL,  
[ImageFileTypeFileExtension] [nvarchar](50) NOT NULL,  
[bDeleted] [bit] NULL,
```

Primary Key: ImageFileTypeID - Clustered

```
TABLE [tblLicenseApplicationSession]  
[sessionID] [int] IDENTITY(1,1) NOT NULL,  
[LocationID] [int] NULL,  
[TrackingNumber] [nvarchar](50) NULL,  
[ApplicantFirstName] [nvarchar](max) NULL,  
[ApplicantLastName] [nvarchar](max) NULL,  
[ApplicantSSN] [nvarchar](50) NULL,  
[dtStarted] [datetime] NULL,  
[dtUpdated] [datetime] NULL,  
[dtApplicationCompleted] [datetime] NULL,  
[dtSubmitted] [datetime] NULL,  
[xmlApplicationForm] [xml] NULL,  
[pdfSupportingDocuments] [image] NULL,  
[pdfPaymentReceipt] [image] NULL,  
[pdfApplication] [image] NULL,  
[jpgColorPhoto] [varbinary](max) NULL,  
[PaymentInformation] [nvarchar](max) NULL,  
[PaymentAmount] [money] NULL,
```

Primary Key: sessionID - Clustered

```
TABLE [tblLicenseApplicationSession.CCSubmittal]  
[submittalIDPK] [int] IDENTITY(1,1) NOT NULL,  
[sessionID] [int] NOT NULL,  
[GCOSubmittalID] [int] NOT NULL,  
[GCOCartPK] [int] NULL,  
[GCOStatus] [nvarchar](50) NULL,  
[dtSubmitted] [datetime] NULL,
```

Primary Key: submittalIDPK - Clustered

```
TABLE [tblLocation]  
[LocationID] [int] IDENTITY(1,1) NOT NULL,  
[LocationName] [nvarchar](100) NULL,  
[LocationNameShort] [nvarchar](100) NULL,  
[IPSubnet] [int] NULL,  
[bInactive] [bit] NULL,  
[CountyName] [nvarchar](100) NULL,
```

Primary Key: LocationID - Clustered



```
TABLE [tblTransactionLog](
    [TLID] [int] IDENTITY(1,1) NOT NULL,
    [TLTID] [int] NOT NULL,
    [dtTransaction] [datetime] NULL,
    [SessionID] [int] NULL,
    [LoggedInID] [int] NULL,
    [TrackingNumber] [nvarchar](50) NULL,
    [IP] [nvarchar](50) NULL,
    [Notes] [nvarchar](max) NULL,

    Primary Key: TLID - Clustered
```

```
TABLE [tblTransactionLogTransactionTypes]
    [TLTID] [int] IDENTITY(1,1) NOT NULL,
    [Description] [nvarchar](max) NOT NULL,

    Primary Key: TLTID - Clustered
```

```
*****
ACMS Workspaces
*****
```

```
FT_NOTARY_WKSP
    FT_NOTARY_USERNAME TEXT size 25;
    FT_NOTARY_PASSWORD TEXT size 25;
    FT_NOTARY_NEW_PASSWORD TEXT size 25;
    FT_NOTARY_PASSWORD_EXP_DAYS INTEGER size 2;
    FT_NOTARY_LAST_NAME TEXT size 25;
    FT_NOTARY_FIRST_NAME TEXT size 15;
    FT_NOTARY_MI TEXT size 1;
    FT_NOTARY_ID TEXT size 15;
    FT_NOTARY_COMMISSION_NUM TEXT size 15;
    FT_NOTARY_COMM_EXP_DATE TEXT size 10;
    FT_NOTARY_COMM_EXP_DAYS INTEGER size 2;
    FT_NOTARY_LOCATION TEXT size 40;
    FT_NOTARY_DIVISION INTEGER size 2;
    FT_NOTARY_P1 TEXT size 20;
    FT_NOTARY_P2 TEXT size 20;
    FT_NOTARY_P3 TEXT size 20;
    FT_NOTARY_P4 TEXT size 20;
    FT_NOTARY_P5 TEXT size 20;
    FT_NOTARY_P6 TEXT size 20;
    FT_NOTARY_P7 TEXT size 20;
    FT_NOTARY_P8 TEXT size 20;
    FT_NOTARY_P9 TEXT size 50;
    FT_NOTARY_P10 TEXT size 50;
```

```
FT_UTIL_WKSP
    FT_TRACKING_NUM TEXT size 9;
    FT_TRACKING_NUM_CHK_DIGIT TEXT size 1;
    FT_LOCATION TEXT size 40;
    FT_USERNAME TEXT size 12;
    FT_USER_PASSWORD TEXT size 12;
```



```
FT_USER_OPER_ID TEXT size 3;  
FT_USER_DIVISION INTEGER size 2;  
FT_IP_ADDRESS TEXT size 15;  
FT_CW_FL_RESIDENT TEXT size 1;  
FT_CW_LAWENF_ACTIVE TEXT size 1;  
FT_CW_LAWENF_RET_LT1YR TEXT size 1;  
FT_CW_LAWENF_RET_GT1YR TEXT size 1;  
FT_CW_CONSULAR TEXT size 1;  
FT_CW_JUDGE_ACTIVE TEXT size 1;  
FT_USER_LICENSE_FEE INTEGER size 4;  
FT_SUBMITTAL_ID TEXT size 9;  
FT_P1 TEXT size 20;  
FT_P2 TEXT size 20;  
FT_P3 TEXT size 20;  
FT_P4 TEXT size 20;  
FT_P5 TEXT size 20;  
FT_P6 TEXT size 30;  
FT_P7 TEXT size 30;  
FT_P8 TEXT size 40;  
FT_P9 TEXT size 40;  
FT_P10 TEXT size 50;
```

FT\_PAYMENT\_WKSP

```
FT_PAY_APPL_LAST_NAME TEXT size 30;  
FT_PAY_APPL_FIRST_NAME TEXT size 30;  
FT_PAY_APPL_MI TEXT size 1;  
FT_PAY_APPL_DOB TEXT size 8;  
FT_PAY_SEQ_NUMBER INTEGER size 4;  
FT_PAY_REC_IDENT TEXT size 1;  
FT_PAY_PYMT_IDENT TEXT size 20;  
FT_PAY_PARENT_PYMT_ID TEXT size 20;  
FT_PAY_REMITTANCE_ID TEXT size 30;  
FT_PAY_PRODUCT_ID INTEGER size 2;  
FT_PAY_PYMT_METHOD INTEGER size 2;  
FT_PAY_TRANS_TYPE INTEGER size 2;  
FT_PAY_PYMT_DATE TEXT size 8;  
FT_PAY_PYMT_TIME TEXT size 6;  
FT_PAY_AMOUNT ARRAY size 8 OF OCTET;  
FT_PAY_PAYER_NAME TEXT size 55;  
FT_PAY_CC_NUM TEXT size 16;  
FT_PAY_CARD_TYPE TEXT size 2;  
FT_PAY_ROUTING_TRANS_NUM TEXT size 9;  
FT_PAY_PARTIAL_ACCT_NUM TEXT size 17;  
FT_PAY_CHECK_TYPE INTEGER size 2;  
FT_PAY_AVS_RESP TEXT size 1;  
FT_PAY_CVV_RESP TEXT size 1;  
FT_PAY_VAR_FIELD1 TEXT size 500;  
FT_PAY_VAR_FIELD2 TEXT size 500;
```



### 7.1.3 INT 03

**INT 03** – Concealed Weapon initial applications intake; Documents are imported into IPM and Reflections is updated (Tax Collector).

```
TYPE CONTROL_WKSP is RECORD
  CONTROL_TEXT TEXT size 20;
  CONTROL_MSG TEXT size 80;
  CONTROL_STATUS INTEGER size 4;
  CONTROL_TRNX_CODE TEXT size 1;
  CONTROL_FETCH_CODE TEXT size 1;
```

END RECORD ;

```
TYPE CWRIS_WKSP is RECORD
  CWR_USER_OFFICE_ID TEXT size 5;
  CWR_USER_NAME TEXT size 20;
  CWR_USER_OPER_ID TEXT size 6;
  CWR_LIC_NUM TEXT size 9;
  CWR_APPL_FIRST_NAME TEXT size 25;
  CWR_APPL_LAST_NAME TEXT size 25;
  CWR_APPL_MI TEXT size 1;
  CWR_APPL_DOB TEXT size 8;
  CWR_LIC_EXP_DATE TEXT size 8;
  CWR_RENEWAL_STATUS TEXT size 50;
  CWR_TRACKING_NUM TEXT size 10;
  CWR_RENEWAL_FEE INTEGER size 4;
  CWR_LATE_FEE INTEGER size 4;
  CWR_FP_FEE INTEGER size 4;
  CWR_TOTAL_FEE INTEGER size 4;
  CWR_RENEWAL_NOTICE_DATE TEXT size 8;
  CWR_ADDR_1 TEXT size 30;
  CWR_ADDR_2 TEXT size 30;
  CWR_CITY TEXT size 20;
  CWR_STATE TEXT size 2;
  CWR_ZIP TEXT size 5;
  CWR_ZIP_4 TEXT size 4;
  CWR_MAIL_ADDR_1 TEXT size 30;
  CWR_MAIL_ADDR_2 TEXT size 30;
  CWR_MAIL_CITY TEXT size 20;
  CWR_MAIL_STATE TEXT size 2;
  CWR_MAIL_ZIP TEXT size 5;
  CWR_MAIL_ZIP_4 TEXT size 4;
  CWR_STATE_NEW TEXT size 2;
  CWR_MAIL_STATE_NEW TEXT size 2;
  CWR_EMAIL_ADDRESS TEXT size 80;
  CWR_FP_PROCESSING_AMT INTEGER size 4;
  CWR_CONVENIENCE_FEE INTEGER size 4;
```

END RECORD ;

```
TYPE CONFIG_WKSP is RECORD
```



```
CF_P1 TEXT size 20;  
CF_P2 TEXT size 20;  
CF_P3 TEXT size 20;  
CF_P4 TEXT size 20;  
CF_P5 TEXT size 20;
```

END RECORD ;

TYPE CWIS\_PAYMENT\_INQ\_WKSP is RECORD

```
CPI_USER_OFFICE_ID TEXT size 5;  
CPI_USER_NAME TEXT size 20;  
CPI_USER_OPER_ID TEXT size 6;  
CPI_TRACKING_NUM TEXT size 10;  
CPI_INV_NUM TEXT size 10;  
CPI_BEGIN_DATE TEXT size 8;  
CPI_END_DATE TEXT size 8;  
CPI_LICENSE_NUM TEXT size 9;  
CPI_OFFICE_ID TEXT size 5;  
CPI_ACCOUNT_ID TEXT size 20;  
CPI_OPER_FIRST_NAME TEXT size 15;  
CPI_OPER_LAST_NAME TEXT size 25;  
CPI_OPER_ID TEXT size 6;  
CPI_TRANS_DATE TEXT size 8;  
CPI_TRANS_AMT INTEGER size 4;  
CPI_TRANS_TYPE TEXT size 3;  
CPI_P2_ACCOUNT_ID TEXT size 20;  
CPI_P2_OPER_ID TEXT size 6;  
CPI_P2_OFFICE_ID TEXT size 5;  
CPI_P2_INV_NUM TEXT size 10;  
CPI_P2_TRANS_DATE TEXT size 8;  
CPI_P2_TRANS_AMT INTEGER size 4;  
CPI_P2_TRANS_TYPE TEXT size 3;  
CPI_CR_ACCOUNT_ID TEXT size 20;  
CPI_CR_OPER_ID TEXT size 6;  
CPI_CR_OFFICE_ID TEXT size 5;  
CPI_CR_INV_NUM TEXT size 10;  
CPI_CR_TRANS_DATE TEXT size 8;  
CPI_CR_TRANS_AMT INTEGER size 4;  
CPI_CR_TRANS_TYPE TEXT size 3;  
CPI_MODE TEXT size 4;  
CPI_LAST_TRACKING_NUM TEXT size 10;  
CPI_COUNTY_NAME TEXT size 15;
```

CWIS\_PAY\_INQ\_LIST\_ARRAY is

```
ARRAY SIZE 200 OF RECORD  
CPIL_TRACKING_NUM TEXT size 10;  
CPIL_INV_NUM TEXT size 10;  
CPIL_DATE TEXT size 8;  
CPIL_OPER_FIRST_NAME TEXT size 15;  
CPIL_OPER_LAST_NAME TEXT size 25;  
CPIL_OPER_ID TEXT size 6;  
CPIL_TRANS_TYPE TEXT size 3;  
CPIL_AMT INTEGER size 4;
```





END RECORD ;

END RECORD ;

TYPE CWIS\_INVOICE\_WKSP is RECORD

CI\_USER\_OFFICE\_ID TEXT size 5;  
CI\_USER\_NAME TEXT size 20;  
CI\_USER\_OPER\_ID TEXT size 6;  
CI\_INV\_NUM TEXT size 10;  
CI\_TRACKING\_NUM TEXT size 10;  
CI\_INPUT\_BEGIN\_DATE TEXT size 8;  
CI\_INPUT\_END\_DATE TEXT size 8;  
CI\_COUNTY\_NAME TEXT size 15;  
CI\_OFFICE\_ID TEXT size 5;  
CI\_AMOUNT INTEGER size 4;  
CI\_AMOUNT\_DUE INTEGER size 4;  
CI\_BEGIN\_DATE TEXT size 8;  
CI\_END\_DATE TEXT size 8;  
CI\_SENT\_TO\_EMAIL TEXT size 50;  
CI\_EMAIL\_DATE TEXT size 8;  
CI\_PAY\_TRANS\_NUM TEXT size 20;  
CI\_PAY\_SUB\_DATE TEXT size 8;  
CI\_FLAIR\_ID1 TEXT size 20;  
CI\_AMT\_PAID1 INTEGER size 4;  
CI\_AMT\_PAID\_DATE1 TEXT size 8;  
CI\_FLAIR\_ID2 TEXT size 20;  
CI\_AMT\_PAID2 INTEGER size 4;  
CI\_AMT\_PAID\_DATE2 TEXT size 8;  
CI\_FLAIR\_ID3 TEXT size 20;  
CI\_AMT\_PAID3 INTEGER size 4;  
CI\_AMT\_PAID\_DATE3 TEXT size 8;  
CI\_FLAIR\_ID4 TEXT size 20;  
CI\_AMT\_PAID4 INTEGER size 4;  
CI\_AMT\_PAID\_DATE4 TEXT size 8;  
CI\_FLAIR\_ID5 TEXT size 20;  
CI\_AMT\_PAID5 INTEGER size 4;  
CI\_AMT\_PAID\_DATE5 TEXT size 8;  
CI\_RECONCILED\_USER TEXT size 3;  
CI\_RECONCILED\_DATE TEXT size 8;  
CI\_MODE TEXT size 4;  
CI\_LAST\_INV\_NUM TEXT size 10;

CWIS\_INV\_LIST\_ARRAY is

ARRAY SIZE 55 OF RECORD  
CIL\_INV\_NUM TEXT size 10;  
CIL\_INV\_AMT INTEGER size 4;  
CIL\_INV\_AMT\_DUE INTEGER size 4;  
CIL\_BEGIN\_DATE TEXT size 8;  
CIL\_END\_DATE TEXT size 8;  
CIL\_PAID\_AMT INTEGER size 4;  
CIL\_PAID\_DATE TEXT size 8;  
CIL\_PAY\_TRANS\_NUM TEXT size 20;



```
CIL_PAY_SUB_DATE TEXT size 8;  
CIL_EMAIL_DATE TEXT size 8;
```

```
END RECORD ;
```

```
END RECORD ;
```

```
TYPE CWIS_NOTARY_WKSP is RECORD  
  CWIS_NOTARY_USERNAME TEXT size 25;  
  CWIS_NOTARY_PASSWORD TEXT size 25;  
  CWIS_NOTARY_NEW_PASSWORD TEXT size 25;  
  CWIS_NOTARY_PASSWORD_EXP_DAYS INTEGER size 2;  
  CWIS_NOTARY_LAST_NAME TEXT size 25;  
  CWIS_NOTARY_FIRST_NAME TEXT size 15;  
  CWIS_NOTARY_MI TEXT size 1;  
  CWIS_NOTARY_ID TEXT size 15;  
  CWIS_NOTARY_COMMISSION_NUM TEXT size 15;  
  CWIS_NOTARY_COMM_EXP_DATE TEXT size 10;  
  CWIS_NOTARY_COMM_EXP_DAYS INTEGER size 2;  
  CWIS_NOTARY_LOCATION TEXT size 40;  
  CWIS_NOTARY_DIVISION INTEGER size 2;  
  CWIS_NOTARY_P1 TEXT size 20;  
  CWIS_NOTARY_P2 TEXT size 20;  
  CWIS_NOTARY_P3 TEXT size 20;  
  CWIS_NOTARY_P4 TEXT size 20;  
  CWIS_NOTARY_P5 TEXT size 20;  
  CWIS_NOTARY_P6 TEXT size 20;  
  CWIS_NOTARY_P7 TEXT size 20;  
  CWIS_NOTARY_P8 TEXT size 20;  
  CWIS_NOTARY_P9 TEXT size 50;  
  CWIS_NOTARY_P10 TEXT size 50;
```

```
END RECORD ;
```

```
TYPE CWIS_UTIL_WKSP is RECORD  
  CWIS_USERNAME TEXT size 20;  
  CWIS_USER_OPER_ID TEXT size 6;  
  CWIS_OFFICE_ID TEXT size 5;  
  CWIS_USER_PASSWORD TEXT size 20;  
  CWIS_USER_NEW_PASSWORD TEXT size 20;  
  CWIS_USER_LEVEL TEXT size 1;  
  CWIS_TRACKING_NUM TEXT size 9;  
  CWIS_TRACKING_NUM_CHK_DIGIT TEXT size 1;  
  CWIS_LICENSE_NUM TEXT size 9;  
  CWIS_CW_FL_RESIDENT TEXT size 1;  
  CWIS_CW_LAWENF_ACTIVE TEXT size 1;  
  CWIS_CW_LAWENF_RET_LT1YR TEXT size 1;  
  CWIS_CW_LAWENF_RET_GT1YR TEXT size 1;  
  CWIS_CW_CONSULAR TEXT size 1;  
  CWIS_CW_JUDGE_ACTIVE TEXT size 1;  
  CWIS_USER_LIC_FEE INTEGER size 4;  
  CWIS_USER_FP_FEE INTEGER size 4;  
  CWIS_USER_MISC_FEE INTEGER size 4;
```



```
CWIS_USER_TOTAL_FEE INTEGER size 4;  
CWIS_P1 TEXT size 20;  
CWIS_P2 TEXT size 20;  
CWIS_P3 TEXT size 20;  
CWIS_P4 TEXT size 20;  
CWIS_P5 TEXT size 20;  
CWIS_P6 TEXT size 30;  
CWIS_P7 TEXT size 30;  
CWIS_P8 TEXT size 40;  
CWIS_P9 TEXT size 40;  
CWIS_P10 TEXT size 50;
```

END RECORD ;

```
TYPE CWIS_PAYMENT_WKSP is RECORD  
  CWIS_PAY_APPL_LAST_NAME TEXT size 30;  
  CWIS_PAY_APPL_FIRST_NAME TEXT size 30;  
  CWIS_PAY_APPL_MI TEXT size 1;  
  CWIS_PAY_APPL_DOB TEXT size 8;  
  CWIS_PAY_SEQ_NUMBER INTEGER size 4;  
  CWIS_PAY_REC_IDENT TEXT size 1;  
  CWIS_PAY_PYMT_IDENT TEXT size 20;  
  CWIS_PAY_PARENT_PYMT_ID TEXT size 20;  
  CWIS_PAY_REMITTANCE_ID TEXT size 30;  
  CWIS_PAY_PRODUCT_ID INTEGER size 2;  
  CWIS_PAY_PYMT_METHOD INTEGER size 2;  
  CWIS_PAY_TRANS_TYPE INTEGER size 2;  
  CWIS_PAY_PYMT_DATE TEXT size 8;  
  CWIS_PAY_PYMT_TIME TEXT size 6;  
  CWIS_PAY_TOTAL_FEE INTEGER size 4;  
  CWIS_PAY_LIC_FEE INTEGER size 4;  
  CWIS_PAY_FP_FEE INTEGER size 4;  
  CWIS_PAY_MISC_FEE INTEGER size 4;  
  CWIS_PAY_PAYER_NAME TEXT size 55;  
  CWIS_PAY_CC_NUM TEXT size 16;  
  CWIS_PAY_CARD_TYPE TEXT size 2;  
  CWIS_PAY_ROUTING_TRANS_NUM TEXT size 9;  
  CWIS_PAY_PARTIAL_ACCT_NUM TEXT size 17;  
  CWIS_PAY_CHECK_TYPE INTEGER size 2;  
  CWIS_PAY_AVS_RESP TEXT size 1;  
  CWIS_PAY_CVV_RESP TEXT size 1;  
  CWIS_PAY_VAR_FIELD1 TEXT size 500;  
  CWIS_PAY_VAR_FIELD2 TEXT size 500;
```

END RECORD ;

```
TYPE SELECTION_STRING_REC is RECORD  
  SELECTION_STRING_FIELD TEXT size 256;
```

END RECORD ;

```
TYPE EXTENDED_STATUS_REC is RECORD  
  EXTENDED_STATUS_FIELD TEXT size 80;
```



```
END RECORD ;

TASK GROUP SPECIFICATION LIC_CWIS_APPL
  UUID "00000000-0000-0000-0000-000000000000" ;
  VERSION 1.0 ;

TASK CWRIS_RENEWAL_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT,
  CWRIS_WKSP PASSED AS INOUT;

TASK CWIS_CONFIG_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT,
  CONFIG_WKSP PASSED AS INOUT;

TASK CWIS_PAYMENT_INQ_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT,
  CWIS_PAYMENT_INQ_WKSP PASSED AS INOUT;

TASK CWIS_INVOICE_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT,
  CWIS_INVOICE_WKSP PASSED AS INOUT;

TASK CWIS_CONNECT_TEST_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT;

TASK CWIS_NOTARY_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT,
  CWIS_NOTARY_WKSP PASSED AS INOUT,
  CWIS_UTIL_WKSP PASSED AS INOUT;

TASK CWIS_UTIL_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT,
  CWIS_UTIL_WKSP PASSED AS INOUT;

TASK CWIS_PAYMENT_TSK
  USING SELECTION_STRING_REC PASSED AS INPUT,
  EXTENDED_STATUS_REC PASSED AS OUTPUT,
  CONTROL_WKSP PASSED AS INOUT,
```



```
CWIS_PAYMENT_WKSP PASSED AS INOUT,
CWIS_UTIL_WKSP PASSED AS INOUT;
END TASK GROUP ;
```

### 7.1.4 INT 3.1

**INT 03.1** – This is the new online rapid express concealed license renewal system (CWREX). Scheduled for implementation during the summer of 2016.

### 7.1.5 INT 08

**INT 08** – This system uses generic check out (DoA program) for accepting payment by credit card or e-check.

<https://www.fl-ag-online.com/co/xsdsubmittal.xsd>

[https://www.fl-ag-online.com/co/xsdsubmittal\\_common.xsd](https://www.fl-ag-online.com/co/xsdsubmittal_common.xsd)

[https://www.fl-ag-online.com/co/xsdSubmittal\\_online.xsd](https://www.fl-ag-online.com/co/xsdSubmittal_online.xsd)

### 7.1.6 INT 11 AND INT 12

**INT 11** – Upload FLAIR transaction 90's file

**INT 12** – Create FLAIR transaction 90's file

#### TRANSACTION 90/91 BATCH INPUT RECORD FORMAT

##### I. Security Header Record:

Position	Format	Description
1-1	A1	Header Record Identifier - Value 'H'
2-12	A11	Organization
13-19	A7	User Name
20-455	A436	Filler

##### II. Transaction 90/91 Input Record:

Position	Format	Description
1-6	A6	Filler
7-8	N2	Transaction Type
9-17	N9	Organization Levels 2 - 5
18-32	A15	Filler
33-40	A8	Budget Entity
41-42	A2	Internal Budget Indicator
43-44	A2	Expansion Option
45-46	A2	Expansion Option Version
47-48	A2	Filler



49-64	A16	State Program
65-69	A5	General Ledger Code
70-75	A6	Category
76-83	A8	Transaction Date (yyyymmdd Format)
84-89	A6	Filler
90-101	N10.2	Amount
102-111	A10	Filler
112-117	N6	Object Code
118-118	A1	Filler
119-124	A6	Primary Document Number
125-128	N4	Line Number
129-130	A2	Filler
131-151	A21	Vendor Id
152-166	A15	Letter Of Credit
167-182	A16	Filler
183-184	A2	External Program
185-197	A13	Filler
198-211	A14	Subvendor Id
212-213	A2	Filler
214-222	A9	Invoice
223-255	A33	Filler
256-271	A16	Description
272-272	A1	Filler
273-273	A1	Batch Character
274-274	A1	Filler
275-279	A5	Other Cost Accumulator
280-282	A3	Filler
283-285	A3	External General Ledger
286-288	A3	External Object Code
289-289	A1	Filler
290-300	A11	Other Document Number
301-310	N8.2	Quantity
311-313	A3	Product Id
314-324	N11	Units
325-333	N9	Time
334-334	A1	Filler
335-339	A5	Accounts Receivable General Ledger Code
340-342	A3	Accounts Receivable External General Ledger Code
343-365	A23	Filler
366-366	A1	Revolving Account Indicator
367-367	A1	Filler
368-372	A5	Grant Id
373-374	A2	Grant Year
375-379	A5	Contract Id
380-381	A2	Contract Year
382-383	A2	Agency Unique
384-385	A2	Year Indicator
386-388	A3	Filler
389-389	A1	Prior Period Indicator
390-397	A8	Beginning Property Item Number
398-417	A20	Filler
418-428	A11	Project Id
429-434	A6	External Category



435-442 A8 Received Date  
443-443 A1 Certified Forward Indicator  
444-455 A12 Filler

Note: Fields from the expansion option & set may be overridden by input of another data code or may be removed from the transaction record by input of a '-' in the first position of the input field. The fields which may be overridden are CAT, YR, GL, EGL, EOB, State Program, EP, Project Id, External Category, Grant, Grant Year, Contract, Contract Year, OCA, AU, BE AND IBI. The same fields may be deleted except for CAT, YR, GL, State Program, Budget Entity and IBI which are required.

III. Field Edits:

Field Name	Requirements
------------	--------------

Security Header Record:

Security Header Indicator	Required - Value 'H'
Security Organization	Required
User Name	Required
	Must have update capability for 'AR' function.

Input Detail Record:

Transaction Type	Required - Value '90' or '91'
Org Level 2-5	Required - Must be within Security Range
Budget Entity	Required - From Expansion Option Record or input. If input must be numeric. Must be on Title File.
Internal Budget Indicator	Required - From Expansion Option Record or input. Cannot be greater '00' if Budget Entity equals '00000000'. If input must be numeric. Must be on Title File.
Expansion Option	Optional - Defaults to standard option of '00'
Expansion Option Version	Optional - Defaults to current version
State Program	Required - See note; Must be on Title File. (If first 10 digits are present but last 6 are blank, zero fill the last 6 before editing.) Validate the combination of the Budget Entity and the State Program against the record type 'H' on the Correlation File.
General Ledger Code	Required - See note
	Must be on Title File.
Category	Required - See note;



Must be on Title File;  
 If OBJ starts with 0, CAT  
 must start with 00, else CAT  
 cannot start with 00.  
 If CAT starts with 04, then OBJ  
 cannot start 13(except 134900),  
 25, 28 or the first character  
 cannot start with 7.

Transaction Date           Optional - Defaults to current date;  
 If input must be valid calendar  
 date in yyyymmdd format

Amount                     Required - Cannot = 0

Object Code                Required - Must be < 900000  
 Must be on Title File.

Primary Document Number   Required

Line Number                Required - Must be numeric and > 0000

Vendor Id                  Required - Must be V,E,C,F,S, or N.  
 Must be on Appropriate  
 Vendor File.

Letter Of Credit            Optional ♦ If input, BILTRTP MUST = 90  
 and must be on Grant  
 Information File in LOC or  
 Sub-Account field.

External Program           Optional - See note  
 If input must be on Title  
 File.

SUB-VENDOR-ID             Optional - first digit must = E, C, F,  
 S, or N; If input must be on  
 Appropriate Vendor File.

Invoice                    Optional

Description                Optional

Batch Character            Optional

Other Cost Accumulator     Optional - See note  
 If input must be on Title  
 File.

External General Ledger    Optional - See note  
 If input must be on Title  
 File.

External Object Code       Optional - See note  
 If input must be on Title  
 File.

Other Document Number     Optional

Quantity                  Optional - Must be numeric

Product Id                 Optional - If input must be on Title  
 File.

Units                     Optional - Must be numeric

Time                      Optional - Must be numeric

Receivable General Ledger Code Required - If transaction type = 90;  
 must be greater than  
 15099 and less than 17000, or  
 greater than 23999 and less  
 than 25000; must be on  
 Title File.





Invalid if Transaction Type = 91  
Receivable External GL Code Optional - If transaction type = 90;  
If input must be on Title  
File.

Invalid if transaction type = 91  
Revolving Account Indicator Optional - If input must = R  
Grant Optional - See note; If input  
must be on Grant Information  
File; A Grant Allotment Level  
Indicator must be on either  
the Expansion Option or  
Expansion Set Record

Grant Year Optional - Invalid if grant = blank,  
See note;  
If input must be numeric.

Contract Optional - If on EO record or input must  
be on Contract Information  
File; A Contract Allotment  
Level Indicator must be on  
either the Expansion Option or  
Expansion Set Record

Contract Year Optional - Invalid if contract = blank,  
See note;  
If input must be numeric.

Agency Unique Optional - If input must be within  
Security AU Range; See Note

Year Indicator Optional - If blank, defaults to  
Expansion Set Year. If set  
record not found, defaults to  
00. If input & CAT > 009999,  
must be numeric. If input &  
CAT < 010000, must = 00. If  
input must be on Title File.

Prior Period Indicator Optional ❖ Must equal BLANK, Y or M.  
If security (AC1PPIO) = ❖blank❖,  
user has access to enter current  
period entries only, If security  
(AC1PPIO)= ❖M❖, user has access to  
enter current or prior month  
entries. If security (AC1PPIO)  
equals ❖Y❖ user has access to enter  
current period, prior month or  
prior year entries.  
If NBI = 0, PPI must = Blank  
If NBI = 1, PPI must = Blank or M  
If NBI = 2, PPI must = Blank or Y  
If NBI = 3, PPI must = Blank, M,  
or Y  
If NBI = 4, PPI must = Blank or M

Project Id Optional - If on EO record or input,  
must be on Proj Information  
File; See note;



A Project Allotment  
Level Indicator must be on  
either the Expansion Option or  
Expansion Set Record

External Category      Optional - If input must be on Title  
File; See note

Property Item Number      Optional ❖ Invalid if Letter Of Credit not  
BLANK, else if input Last 6  
digits must be numeric  
or = 'ZZZZZZ'

Received Date      Optional - If input must be valid calendar  
date in `yyyymmdd` format

Certified Forward Indicator      Optional - If input must = 'C',  
Invalid if SF = 8 or  
If object < 100000

#### IV. Correlation Edits:

##### Project Id to Account Code Correlation:

If the agency has opted to always require this correlation and a project id is included on the input record, the project id must be correlated to the account code from expansion.

If the agency has opted to sometimes require this correlation and a project id is included on the input record, if the project id has been correlated to any account codes, it must be correlated to the account code from expansion.

##### Project Id to Contract Correlation:

If the agency has opted to always require this correlation and a project id and contract are included on the input record, the project id must be correlated to the contract on the input record.

If the agency has opted to sometimes require this correlation and a project id and contract are included on the input record, if the project id has been correlated to any contracts, it must be correlated to the contract on the input record.

##### Contract to Account Code Correlation:

If the agency has opted to always require this correlation and a contract is included on the input record, the contract must be correlated to the account code from expansion.

If the agency has opted to sometimes require this correlation and a contract is included on the input record, if the contract has been correlated to any account codes, it must be correlated to the account code from expansion.

## 7.1.7 INT 13

### INT 13 – Upload FLAIR transaction 30's file



**Transaction 30 & 31 Batch Input Record Format**

I. Security Header Record:

Position	Format	Description
1-1	A1	Header Record Identifier - Value 'H'
2-12	A11	Organization
13-19	A7	User Name
20-455	A436	Filler

II. Transaction 30/31 Input Record:

Position	Format	Description
1-6	A6	Filler
7-8	N2	Transaction Type
9-17	N9	Organization Levels 2 - 5
18-32	A15	Filler
33-40	A8	Budget Entity
41-42	A2	Internal Budget Indicator
43-44	A2	Expansion Option
45-46	A2	Expansion Option Version
47-48	A2	Filler
49-64	A16	State Program
65-69	A5	General Ledger Code
70-75	A6	Category
76-83	A8	Transaction Date (yyyymmdd)
84-89	A6	Filler
90-101	N10.2	Amount
102-111	A10	Filler
112-117	N6	Object Code
118-118	A1	Filler
119-124	A6	Primary Document Number
125-128	A4	Line Number
129-130	A2	Filler
131-151	A21	Vendor Id
152-166	A15	Letter Of Credit
167-170	A4	Filler
171-181	A11	Original Receipt
182-182	A1	Filler
183-184	A2	External Program
185-197	A13	Filler
198-211	A14	Subvendor Id
212-213	A2	Filler
214-222	A9	Invoice
223-255	A33	Filler
256-271	A16	Description
272-272	A1	Filler
273-273	A1	Batch Character
274-274	A1	Filler
275-279	A5	Other Cost Accumulator
280-282	A3	Filler
283-285	A3	External General Ledger
286-288	A3	External Object Code



289-289	A1	Bookkeeping Indicator
290-300	A11	Other Document Number
301-310	N8.2	Quantity
311-313	A3	Product Id
314-324	N11	Units
325-333	N9	Time
334-367	A34	Filler
368-372	A5	Grant Id
373-374	A2	Grant Year
375-379	A5	Contract Id
380-381	A2	Contract Year
382-383	A2	Agency Unique
384-385	A2	Year Indicator
386-388	A3	Filler
389-389	A1	Prior Period Indicator
390-397	A8	Beginning Property Item Number
398-417	A20	Filler
418-428	A11	Project ID
429-434	A6	External Category
435-442	A8	Filler
443-443	A1	Certified Forward Indicator
444-455	A12	Filler

Note: Fields from the expansion option & set may be overridden by input of another data code or may be removed from the transaction record by input of a '-' in the first position of the input field. The fields which may be overridden are CAT, YR, GL, EGL, EOB, State Program, EP, Grant, Project Id, External Category, Grant Year, Contract, Contract Year, OCA, AU, Budget Entity and Internal Budget Indicator. The same fields may be deleted except for CAT, YR, GL, State Program, Budget Entity and IBI which are required.

III. Field Edits:

Field Name	Requirements
------------	--------------

Security Header Record:

Header Record Identifier	Required - Value 'H'
Security Organization	Required
User Name	Required - Must have update capability for 'CR' function.

Input Detail Record:

Transaction Type	Required - Value '30' or '31'
Org Level 2-5	Required - Must be within security range.
Expansion Option	Required - Defaults to standard option - 00
Expansion Option Version	Optional - Defaults to current version

Field Name	Requirements
------------	--------------

State Program	Required - See note. Edit against Title File. (If first 10 digits are present, but last 6
---------------	--



are blank, zero fill the last 6 before editing.) Validate the combination of the Budget Entity and the State Program against the record type 'H' on the Correlation File.

General Ledger Code      Required - See note.  
Must be on Title File.

Category                    Required - Must be on Title File. Edit if input category not = to set record Cat or if no record was found. If object > 099999, Cat must be > 009999. If Object < 100000, Cat must be < 010000; Cannot = 000000; must be on Title File; see note

Transaction Date          Optional - Blank defaults to current date; If trans type = 31, trans date Must be < or = to current date; If input must be valid calendar

Amount                    Required - Must not = 0

Budget Entity              Required - From expansion option record or input. If input must be numeric must be on Title File.

Internal Budget Indicator   Required - From expansion option record or input. Cannot be greater than '00' If Budget Entity ='00000000' If input must be numeric. Must be on Title File

Object Code                Required - Must be < 900000; Must be on Title File.

Primary Document Number   Required - If Trans Type = 30, this is the deposit number to be used in the Treasury System

Line                        Optional

Vendor Id                  Optional - If input, edit against Appropriate Vendor File(send zeros in CAT and Year)

Letter Of Credit            Optional ♦ If input, must be on Grant Information File in LOC or Sub-Account field.

Original Receipt            Optional

External Program            Optional - See note  
If input must be on Title File.

Sub vendor Id              Optional - First digit must = E,C,F,S,or N. If input must be on Appropriate Vendor File.

Invoice                    Optional

Description                Optional

Batch Character            Optional

Other Cost Accumulator    Optional - See note  
If input must be on Title File.



External General Ledger   Optional - See note  
   If input must be on Title File.

External Object Code       Optional - See note  
   If input must be on Title File.

Bookkeeping Indicator     Optional - If input must = N

Other Document Number    Optional

Quantity                    Optional - If input must be numeric.

Product Id                 Optional - If input must be on Title File.

Units                       Optional - If input must be numeric.

Time                        Optional - If input must be numeric.

Grant                       Optional - See note. If input C&G Allot-ment  
   Level Indicator must be  
   on Expansion Option or Set Record.  
   If input must be on Grant  
   Information File.

Grant Year                 Optional - Invalid if Grant = Blank; See note  
   if input must be numeric.

Contract                   Optional - If input must be on Contract  
   Information File.  
   Contract Allotment Level Indicator  
   must be on either the Expansion  
   Option Record or Expansion Set  
   Record.

Contract Year             Optional - Invalid if Cntrt = Blank; See note  
   if input must be numeric.

Agency Unique            Optional - See note; if input must be  
   within security AU range.

Year Indicator             Required - Numeric - from input; if blank,  
   from Expansion Set Record.  
   If blank & no set record found,  
   then default to 00.  
   If CAT < 010000, then YR must =  
   00. If input must be numeric.

Prior Period Indicator    Optional ♦ Must equal BLANK, Y or M.  
   If security (AC1PPIO) = ♦blank♦,  
   user has access to enter current  
   period entries only, If security  
   (AC1PPIO)= ♦M♦, user has access to  
   enter current or prior month  
   entries. If security (AC1PPIO)  
   equals ♦Y♦ user has access to enter  
   current period, prior month or  
   prior year entries.  
   If NBI = 0, PPI must = Blank  
   If NBI = 1, PPI must = Blank or M  
   If NBI = 2, PPI must = Blank or Y  
   If NBI = 3, PPI must = Blank, M,  
   or Y  
   If NBI = 4, PPI must = Blank or M

Beginning Property Item #   Optional ♦ Invalid if Letter Of Credit not  
   BLANK, else If input, last 6 digits  
   must be numeric or = 'ZZZZZZ'



Certified Forward Indicator Optional - If input must = C  
 Invalid if SF = 8  
 Invalid if OBJ < 100000  
 Project Id Optional - If input must be on Project  
 Information File.  
 External Category Optional - If input must be on Title File.

**Project Id to Account Code Correlation:**

If the agency has opted to always require this correlation and a project id is included on the input record, the project id must be correlated to the account code from expansion.  
 If the agency has opted to sometimes require this correlation and a project id is included on the input record, if the project id has been correlated to any account codes, it must be correlated to the account code from expansion.

**Project Id to Contract Correlation:**

If the agency has opted to always require this correlation and a project id and contract are included on the input record, the project id must be correlated to the contract on the input record.  
 If the agency has opted to sometimes require this correlation and a project id and contract are included on the input record, if the project id has been correlated to any contracts, it must be correlated to the contract on the input record.

**Contract to Account Code Correlation:**

If the agency has opted to always require this correlation and a contract is included on the input record, the contract must be correlated to the account code from expansion.  
 If the agency has opted to sometimes require this correlation and a contract is included on the input record, if the contract has been correlated to any account codes, it must be correlated to the account code from expansion.

**7.1.8 INT 14**

**INT 14 – Upload FLAIR transaction 33's file.**

**TRANSACTION 33 BATCH INPUT RECORD FORMAT**

**I. Security Header Record:**

Position	Format	Description
1-1	A1	Header Record Identifier - H
2-12	A11	Organization
13-19	A7	User Name
20-455	A436	Filler

**II. Transaction 33 Input Record:**

Position	Format	Description
----------	--------	-------------



1-6	A6	Filler
7-8	N2	Transaction Type
9-17	N9	Organization Levels 2 - 5
18-32	A15	Filler
33-40	A8	Budget Entity
41-42	A2	Internal Budget Indicator
43-44	A2	Expansion Option
45-46	A2	Expansion Version
47-48	A2	Filler
49-64	A16	State Program
65-69	N5	Budget Control General Ledger Code
70-75	A6	Category
76-83	A8	Transaction Date (YYYYMMDD)
84-89	A6	Filler
90-101	N10.2	Amount
102-111	A10	Filler
112-117	N6	Object
118-118	A1	Filler
119-124	A6	Primary Document Number
125-128	A4	Line Number
129-130	A2	Filler
131-151	A21	Vendor-ID
152-166	A15	Letter Of Credit
167-170	A4	Filler
171-181	A11	Accounts Receivable Number (SDN)
182-182	A1	Filler
183-184	A2	External Program
185-197	A13	Filler
198-211	A14	Sub-Vendor ID
212-213	A2	Filler
214-222	A9	VENDOR INVOICE
223-255	A33	Filler
256-271	A16	Description
272-272	A1	Filler
273-273	A1	Batch Character
274-274	A1	Filler
275-279	A5	Other Cost Accumulator
280-282	A3	Filler
283-285	A3	Budget Control External General Ledger
286-288	A3	External Object code
289-289	A1	Bookkeeping Indicator
290-300	A11	Other Document Number
301-310	A10	Quantity
311-313	A3	Product Identifier
314-324	N11	Units
325-333	N9	Time
334-334	A1	Filler
335-339	N5	FILLER
340-367	A28	FILLER
368-372	A5	GRANT ID
373-374	A2	GRANT YEAR
375-379	A5	CONTRACT ID
380-381	A2	CONTRACT YEAR





382-383	A2	AGENCY UNIQUE
384-385	A2	YEAR INDICATOR
386-388	A3	FILLER
389-389	A1	PRIOR PERIOD INDICATOR
390-397	A8	BPIN ◆ Beginning Property Item Number
398-412	A15	FILLER
413-413	A1	FILLER
414-417	A4	FILLER
418-428	A11	PROJECT ID
429-434	A6	External Category
435-442	A8	FILLER
443-443	A1	CERTIFIED FORWARD INDICATOR
444-444	A1	FILLER
445-455	A11	Filler

Note: Fields from the AR expansion option & set may be overridden by input of another data code or may be removed from the transaction record by input of a '-' in the first position of the input field. The fields which may be overridden are Budget Entity, Internal Budget Indicator, CAT, EOB, State Program, EP, GL, EGL, EOB, CF, Vendor, Sub-Vendor, PID, Invoice, Desc, BPIN, YR, Project Id, External Category, Grant, Grant Year, Contract, Contract Year, OCA and AU. The same fields may be deleted except for Vendor, Cat, year, GL, State Program, BE & IBI which are required.

III. EDIT INPUT RECORD

A. Field Name Requirements

Security Header Record:

Header Record Identifier Required ◆ Value ◆H◆  
 Security Organization Required  
 User Name Required ◆ Must have update capability for  
 ◆CR◆ function.

TRANSACTION TYPE ◆ Required - Must = 33

AR-NO - required ◆ cannot = blank

LINE - required ◆ cannot = all zeros must be numeric

L2-L5 - optional if input must be within security organization range.

Expansion Option - Optional - Defaults to AR1EO ◆ if input must be valid on expansion option file (IEXF01)

Expansion Option Version - Optional - Defaults to AR1VR ◆ if EO is input, default to most current version



OBJECT - optional - if input, must be < 900000.

Prior Period Indicator - Optional  Must equal BLANK, Y or M.

If security (AC1PPIO) = blank, user has access to enter current period entries only,

If security AC1PPIO)= M, user has access to enter current or prior month entries. If

security (AC1PPIO>equals Y user has access to enter current period, prior month or prior year entries.

If NBI = 0, PPI must = Blank

If NBI = 1, PPI must = Blank or M

If NBI = 2, PPI must = Blank or Y

If NBI = 3, PPI must = Blank, M, or Y

If NBI = 4, PPI must = Blank or M

VENDOR-ID - Required, If left blank will default to Receivable Vendor. If input first digit must equal C, E, S, F or N.

LETTER OF CREDIT  Optional  if input, must be on Grant Information File in LOC or Sub-Account field.

CF - optional - if input,

(a) If SF = 8 CF not allowed

(b) CAT cannot be < 010000

(c) If CF is input must = C

(d) If MGDT > 12/31 and < 07/01, CF must = blank

TRN-DT - required. If blank, default to current date.

If input, must be in valid calendar date YYYYMMDD format.

AMOUNT - required, cannot = 0.

PDN - (DEP-NO) - required (Deposit Line  optional)

BI (BOOKKEEPING INDICATOR) - optional - if input, must = N.

SUB-VENDOR-ID - optional - first digit must = E, C, F, S, or N.  
must be valid on Vendor File.

QUANTITY - optional

INVOICE - optional

DESCRIPTION - optional

OTHER-DOC - optional

B (BATCH) - optional



PID - optional - if input must be valid on title file.

CAT - Required - Cannot = 000000 - Must be numeric. Always edited against the title file. If the input category is not equal to the set record category or if no SET RECORD was found then: if OBJECT > 099999, category must be > 009999; if object < 100000, category must be < 010000.

If 1st 2 characters of CAT = 04, then object code cannot = 13xxxx (except 1349xx), 2510, 2520, 2560, 2570, 2810, 2830, 7500 or 7900. If SF is not = 8, BI = blank, and object is > 099999, then validate the EXPENSE REFUND ACCOUNT CODE by sending the following data to the VENDOR SUBROUTINE:

```
VENDOR = L1(2), GF(2), SF(1), FID(6), BE(8), IBI(2)
CAT    = 001800
YR     = 00
```

YR - required. If blank, default to 00. If cat > 009999, YR must be numeric. Else, if CAT < 010000, YR must = 00.

GL required, must be valid on Title file.

EGL optional If input must be valid on Title File

EOB - optional If input must be valid on Title file

State-Program - required. Edit against TITLE FILE. (if first 10 digits are present, but last 6 are blank, zero fill the last 6 before editing.) Validate the combination of the BUDGET ENTITY and the STATE PROGRAM against the RECORD TYPE 'H' on the CORRELATION FILE.

EP Optional - If input must be valid on Title File

Grant Optional If grant is not blank, must be valid on Grant Information File

GY - optional, must be numeric. Invalid if GRANT is blank.

Contract - optional, if CONTRACT is not blank, edited against the TITLE FILE.

CY - optional, must be numeric. Invalid if CNTRT is blank.

OCA - optional if input must be valid on Title File.

AU - optional, editing is required only if input AU not = to option record AU. Edited first against SECURITY RECORD must be valid on the TITLE FILE.

BE required, Must be numeric. If blank, default to all zeroes. must be valid on the TITLE FILE.



IBI - required if BE is present, invalid if BE is not present.  
If BE is input and IBI is blank, default to 00.  
If BE and IBI are input, IBI must be numeric,  
edited against the TITLE FILE.

BPIN - optional ❖ Invalid if Letter Of Credit not BLANK, else if  
input, last 6 digits must be numeric or = to 'ZZZZZZ'.

UNITS - Optional

TIME - Optional

PROJECT ID - Optional, if PROJECT is not blank, edited against the  
TITLE FILE.

EXTERNAL CATEGORY - optional; edited against TITLE FILE

IF agency is a C & G USER and GRANT is not blank and either:

1. ORG, EO, VR, or OBJECT were changed, then a  
GRANT ALLOTMENT LEVEL INDICATOR must be on either the  
EXPANSION OPTION or EXPANSION SET RECORD or
2. ORG, EO, VR, or OBJECT were not changed, then AR1GTALI  
must not equal blank.

If CONTRACT is not equal to blank, either:

1. ORG, EO, VR, or OBJECT were changed, then a  
CONTRACT ALLOTMENT LEVEL INDICATOR must be on either the  
EXPANSION OPTION or EXPANSION SET RECORD or
2. ORG, EO, VR, or OBJECT were not changed, then AR1CTALI  
must not equal blank.

If PROJECT is not blank, either:

1. ORG, EO, VR, or OBJECT were changed, then a  
CONTRACT ALLOTMENT LEVEL INDICATOR must be on either the  
EXPANSION OPTION or EXPANSION SET RECORD or
2. ORG, EO, VR, or object were not changed, then AR1PJALI  
cannot equal blank.

### 7.1.9 INT 15

**INT 15 – Create FLAIR transaction 30's and 33's files.**

#### **Transaction 30 & 31 Batch Input Record Format**

I. Security Header Record:

Position	Format	Description
1-1	A1	Header Record Identifier - Value 'H'
2-12	A11	Organization
13-19	A7	User Name
20-455	A436	Filler

II. Transaction 30/31 Input Record:



Position	Format	Description
1-6	A6	Filler
7-8	N2	Transaction Type
9-17	N9	Organization Levels 2 - 5
18-32	A15	Filler
33-40	A8	Budget Entity
41-42	A2	Internal Budget Indicator
43-44	A2	Expansion Option
45-46	A2	Expansion Option Version
47-48	A2	Filler
49-64	A16	State Program
65-69	A5	General Ledger Code
70-75	A6	Category
76-83	A8	Transaction Date (yyyymmdd)
84-89	A6	Filler
90-101	N10.2	Amount
102-111	A10	Filler
112-117	N6	Object Code
118-118	A1	Filler
119-124	A6	Primary Document Number
125-128	A4	Line Number
129-130	A2	Filler
131-151	A21	Vendor Id
152-166	A15	Letter Of Credit
167-170	A4	Filler
171-181	A11	Original Receipt
182-182	A1	Filler
183-184	A2	External Program
185-197	A13	Filler
198-211	A14	Subvendor Id
212-213	A2	Filler
214-222	A9	Invoice
223-255	A33	Filler
256-271	A16	Description
272-272	A1	Filler
273-273	A1	Batch Character
274-274	A1	Filler
275-279	A5	Other Cost Accumulator
280-282	A3	Filler
283-285	A3	External General Ledger
286-288	A3	External Object Code
289-289	A1	Bookkeeping Indicator
290-300	A11	Other Document Number
301-310	N8.2	Quantity
311-313	A3	Product Id
314-324	N11	Units
325-333	N9	Time
334-367	A34	Filler
368-372	A5	Grant Id
373-374	A2	Grant Year
375-379	A5	Contract Id
380-381	A2	Contract Year



382-383	A2	Agency Unique
384-385	A2	Year Indicator
386-388	A3	Filler
389-389	A1	Prior Period Indicator
390-397	A8	Beginning Property Item Number
398-417	A20	Filler
418-428	A11	Project ID
429-434	A6	External Category
435-442	A8	Filler
443-443	A1	Certified Forward Indicator
444-455	A12	Filler

Note: Fields from the expansion option & set may be overridden by input of another data code or may be removed from the transaction record by input of a '-' in the first position of the input field. The fields which may be overridden are CAT, YR, GL, EGL, EOB, State Program, EP, Grant, Project Id, External Category, Grant Year, Contract, Contract Year, OCA, AU, Budget Entity and Internal Budget Indicator. The same fields may be deleted except for CAT, YR, GL, State Program, Budget Entity and IBI which are required.

III. Field Edits:

Field Name	Requirements
------------	--------------

Security Header Record:

Header Record Identifier	Required - Value 'H'
Security Organization	Required
User Name	Required - Must have update capability for 'CR' function.

Input Detail Record:

Transaction Type	Required - Value '30' or '31'
Org Level 2-5	Required - Must be within security range.
Expansion Option	Required - Defaults to standard option - 00
Expansion Option Version	Optional - Defaults to current version

Field Name	Requirements
------------	--------------

State Program	Required - See note. Edit against Title File. (If first 10 digits are present, but last 6 are blank, zero fill the last 6 before editing.) Validate the combination of the Budget Entity and the State Program against the record type 'H' on the Correlation File.
General Ledger Code	Required - See note. Must be on Title File.
Category	Required - Must be on Title File. Edit if input category not = to set record Cat or if no record was found. If object > 099999, Cat must be > 009999. If Object <



100000, Cat must be < 010000;  
Cannot = 000000; must be on Title  
File; see note

Transaction Date      Optional - Blank defaults to current date;  
                                 If trans type = 31, trans date  
                                 Must be < or = to current date;  
                                 If input must be valid calendar

Amount                      Required - Must not = 0

Budget Entity              Required - From expansion option record or  
                                 input. If input must be numeric  
                                 must be on Title File.

Internal Budget Indicator      Required - From expansion option record or  
                                 input. Cannot be greater than  
                                 '00' If Budget Entity ='00000000'  
                                 If input must be numeric.  
                                 Must be on Title File

Object Code                Required - Must be < 900000;  
                                 Must be on Title File.

Primary Document Number      Required - If Trans Type = 30, this is the  
                                 deposit number to be used in the  
                                 Treasury System

Line                              Optional

Vendor Id                      Optional - If input, edit against Appropriate  
                                 Vendor File(send zeros in CAT and  
                                 Year)

Letter Of Credit              Optional ❖ If input, must be on Grant  
                                 Information File in LOC or  
                                 Sub-Account field.

Original Receipt              Optional

External Program              Optional - See note  
                                 If input must be on Title File.

Sub vendor Id                Optional - First digit must = E,C,F,S,or N.  
                                 If input must be on Appropriate  
                                 Vendor File.

Invoice                        Optional

Description                    Optional

Batch Character                Optional

Other Cost Accumulator      Optional - See note  
                                 If input must be on Title File.

External General Ledger      Optional - See note  
                                 If input must be on Title File.

External Object Code        Optional - See note  
                                 If input must be on Title File.

Bookkeeping Indicator      Optional - If input must = N

Other Document Number      Optional

Quantity                      Optional - If input must be numeric.

Product Id                    Optional - If input must be on Title File.

Units                            Optional - If input must be numeric.

Time                            Optional - If input must be numeric.

Grant                            Optional - See note. If input C&G Allot-ment



	Level Indicator must be on Expansion Option or Set Record. If input must be on Grant Information File.
Grant Year	Optional - Invalid if Grant = Blank; See note if input must be numeric.
Contract	Optional - If input must be on Contract Information File. Contract Allotment Level Indicator must be on either the Expansion Option Record or Expansion Set Record.
Contract Year	Optional - Invalid if Cntrt = Blank; See note if input must be numeric.
Agency Unique	Optional - See note; if input must be within security AU range.
Year Indicator	Required - Numeric - from input; if blank, from Expansion Set Record. If blank & no set record found, then default to 00. If CAT < 010000, then YR must = 00. If input must be numeric.
Prior Period Indicator	Optional ◆ Must equal BLANK, Y or M. If security (AC1PPIO) = ◆blank◆, user has access to enter current period entries only, If security (AC1PPIO)= ◆M◆, user has access to enter current or prior month entries. If security (AC1PPIO) equals ◆Y◆ user has access to enter current period, prior month or prior year entries. If NBI = 0, PPI must = Blank If NBI = 1, PPI must = Blank or M If NBI = 2, PPI must = Blank or Y If NBI = 3, PPI must = Blank, M, or Y If NBI = 4, PPI must = Blank or M
Beginning Property Item #	Optional ◆ Invalid if Letter Of Credit not BLANK, else If input, last 6 digits must be numeric or = 'ZZZZZZ'
Certified Forward Indicator	Optional - If input must = C Invalid if SF = 8 Invalid if OBJ < 100000
Project Id	Optional - If input must be on Project Information File.
External Category	Optional - If input must be on Title File.

Project Id to Account Code Correlation:

If the agency has opted to always require this correlation and a project id is included on the input record, the project id must be correlated to the account code from expansion.





If the agency has opted to sometimes require this correlation and a project id is included on the input record, if the project id has been correlated to any account codes, it must be correlated to the account code from expansion.

Project Id to Contract Correlation:

If the agency has opted to always require this correlation and a project id and contract are included on the input record, the project id must be correlated to the contract on the input record.

If the agency has opted to sometimes require this correlation and a project id and contract are included on the input record, if the project id has been correlated to any contracts, it must be correlated to the contract on the input record.

Contract to Account Code Correlation:

If the agency has opted to always require this correlation and a contract is included on the input record, the contract must be correlated to the account code from expansion.

If the agency has opted to sometimes require this correlation and a contract is included on the input record, if the contract has been correlated to any account codes, it must be correlated to the account code from expansion.

TRANSACTION 33 BATCH INPUT RECORD FORMAT


I. Security Header Record:

Position	Format	Description
1-1	A1	Header Record Identifier - H
2-12	A11	Organization
13-19	A7	User Name
20-455	A436	Filler

II. Transaction 33 Input Record:

Position	Format	Description
1-6	A6	Filler
7-8	N2	Transaction Type
9-17	N9	Organization Levels 2 - 5
18-32	A15	Filler
33-40	A8	Budget Entity
41-42	A2	Internal Budget Indicator
43-44	A2	Expansion Option
45-46	A2	Expansion Version
47-48	A2	Filler
49-64	A16	State Program
65-69	N5	Budget Control General Ledger Code
70-75	A6	Category
76-83	A8	Transaction Date (YYYYMMDD)
84-89	A6	Filler
90-101	N10.2	Amount



102-111	A10	Filler
112-117	N6	Object
118-118	A1	Filler
119-124	A6	Primary Document Number
125-128	A4	Line Number
129-130	A2	Filler
131-151	A21	Vendor-ID
152-166	A15	Letter Of Credit
167-170	A4	Filler
171-181	A11	Accounts Receivable Number (SDN)
182-182	A1	Filler
183-184	A2	External Program
185-197	A13	Filler
198-211	A14	Sub-Vendor ID
212-213	A2	Filler
214-222	A9	VENDOR INVOICE
223-255	A33	Filler
256-271	A16	Description
272-272	A1	Filler
273-273	A1	Batch Character
274-274	A1	Filler
275-279	A5	Other Cost Accumulator
280-282	A3	Filler
283-285	A3	Budget Control External General Ledger
286-288	A3	External Object code
289-289	A1	Bookkeeping Indicator
290-300	A11	Other Document Number
301-310	A10	Quantity
311-313	A3	Product Identifier
314-324	N11	Units
325-333	N9	Time
334-334	A1	Filler
335-339	N5	FILLER
340-367	A28	FILLER
368-372	A5	GRANT ID
373-374	A2	GRANT YEAR
375-379	A5	CONTRACT ID
380-381	A2	CONTRACT YEAR
382-383	A2	AGENCY UNIQUE
384-385	A2	YEAR INDICATOR
386-388	A3	FILLER
389-389	A1	PRIOR PERIOD INDICATOR
390-397	A8	BPIN  Beginning Property Item Number
398-412	A15	FILLER
413-413	A1	FILLER
414-417	A4	FILLER
418-428	A11	PROJECT ID
429-434	A6	External Category
435-442	A8	FILLER
443-443	A1	CERTIFIED FORWARD INDICATOR
444-444	A1	FILLER
445-455	A11	Filler



Note: Fields from the AR expansion option & set may be overridden by input of another data code or may be removed from the transaction record by input of a '-' in the first position of the input field. The fields which may be overridden are Budget Entity, Internal Budget Indicator, CAT, EOB, State Program, EP, GL, EGL, EOB, CF, Vendor, Sub-Vendor, PID, Invoice, Desc, BPIN, YR, Project Id, External Category, Grant, Grant Year, Contract, Contract Year, OCA and AU. The same fields may be deleted except for Vendor, Cat, year, GL, State Program, BE & IBI which are required.

III. EDIT INPUT RECORD

A. Field Name Requirements

Security Header Record:

Header Record Identifier Required  Value H  
 Security Organization Required  
 User Name Required  Must have update capability for CR function.

TRANSACTION TYPE  Required - Must = 33

AR-NO - required  cannot = blank

LINE - required  cannot = all zeros must be numeric

L2-L5 - optional if input must be within security organization range.

Expansion Option - Optional - Defaults to AR1EO  if input must be valid on expansion option file (IEXF01)

Expansion Option Version - Optional - Defaults to AR1VR  if EO is input, default to most current version

OBJECT - optional - if input, must be < 900000.

Prior Period Indicator - Optional  Must equal BLANK, Y or M.

If security (AC1PPIO) = blank, user has access to enter current period entries only,  
 If security AC1PPIO)= M, user has access to enter current or prior month entries. If security (AC1PPIO)equals Y user has access to enter current period, prior month or prior year entries.  
 If NBI = 0, PPI must = Blank  
 If NBI = 1, PPI must = Blank or M  
 If NBI = 2, PPI must = Blank or Y



If NBI = 3, PPI must = Blank, M, or Y  
If NBI = 4, PPI must = Blank or M

VENDOR-ID - Required, If left blank will default to Receivable  
Vendor. If input first digit must equal C, E, S, F or N.

LETTER OF CREDIT  Optional  if input, must be on Grant Information  
File in LOC or Sub-Account field.

CF - optional - if input,  
(a) If SF = 8 CF not allowed  
(b) CAT cannot be < 010000  
(c) If CF is input must = C  
(d) If MGDT > 12/31 and < 07/01, CF must = blank

TRN-DT - required. If blank, default to current date.  
If input, must be in valid calendar date YYYYMMDD format.

AMOUNT - required, cannot = 0.

PDN - (DEP-NO) - required (Deposit Line  optional)

BI (BOOKKEEPING INDICATOR) - optional - if input, must = N.

SUB-VENDOR-ID - optional - first digit must = E, C, F, S, or N.  
must be valid on Vendor File.

QUANTITY - optional

INVOICE - optional

DESCRIPTION - optional

OTHER-DOC - optional

B (BATCH) - optional

PID - optional - if input must be valid on title file.

CAT - Required - Cannot = 000000 - Must be numeric. Always edited  
against the title file. If the input category is not equal to the  
set record category or if no SET RECORD was found then: if OBJECT  
> 099999, category must be > 009999; if object < 100000, category  
must be < 010000.

If 1st 2 characters of CAT = 04, then object code cannot = 13xxxx  
(except 1349xx), 2510, 2520, 2560, 2570, 2810, 2830, 7500 or 7900.  
If SF is not = 8, BI = blank, and object is > 099999, then validate  
the EXPENSE REFUND ACCOUNT CODE by sending the following data to  
the VENDOR SUBROUTINE:

VENDOR = L1(2), GF(2), SF(1), FID(6), BE(8), IBI(2)  
CAT = 001800  
YR = 00



YR - required. If blank, default to 00. If cat > 009999, YR must be numeric. Else, if CAT < 010000, YR must = 00.

GL required, must be valid on Title file.

EGL optional If input must be valid on Title File

EOB - optional If input must be valid on Title file

State-Program - required. Edit against TITLE FILE. (if first 10 digits are present, but last 6 are blank, zero fill the last 6 before editing.) Validate the combination of the BUDGET ENTITY and the STATE PROGRAM against the RECORD TYPE 'H' on the CORRELATION FILE.

EP Optional - If input must be valid on Title File

Grant Optional If grant is not blank, must be valid on Grant Information File

GY - optional, must be numeric. Invalid if GRANT is blank.

Contract - optional, if CONTRACT is not blank, edited against the TITLE FILE.

CY - optional, must be numeric. Invalid if CNTRT is blank.

OCA - optional if input must be valid on Title File.

AU - optional, editing is required only if input AU not = to option record AU. Edited first against SECURITY RECORD must be valid on the TITLE FILE.

BE required, Must be numeric. If blank, default to all zeroes. must be valid on the TITLE FILE.

IBI - required if BE is present, invalid if BE is not present. If BE is input and IBI is blank, default to 00. If BE and IBI are input, IBI must be numeric, edited against the TITLE FILE.

BPIN - optional Invalid if Letter Of Credit not BLANK, else if input, last 6 digits must be numeric or = to 'ZZZZZZ'.

UNITS - Optional

TIME - Optional

PROJECT ID - Optional, if PROJECT is not blank, edited against the TITLE FILE.

EXTERNAL CATEGORY - optional; edited against TITLE FILE



IF agency is a C & G USER and GRANT is not blank and either:

1. ORG, EO, VR, or OBJECT were changed, then a GRANT ALLOTMENT LEVEL INDICATOR must be on either the EXPANSION OPTION or EXPANSION SET RECORD or
2. ORG, EO, VR, or OBJECT were not changed, then AR1GTALI must not equal blank.

If CONTRACT is not equal to blank, either:

1. ORG, EO, VR, or OBJECT were changed, then a CONTRACT ALLOTMENT LEVEL INDICATOR must be on either the EXPANSION OPTION or EXPANSION SET RECORD or
2. ORG, EO, VR, or OBJECT were not changed, then AR1CTALI must not equal blank.

If PROJECT is not blank, either:

1. ORG, EO, VR, or OBJECT were changed, then a CONTRACT ALLOTMENT LEVEL INDICATOR must be on either the EXPANSION OPTION or EXPANSION SET RECORD or
2. ORG, EO, VR, or object were not changed, then AR1PJALI cannot equal blank.

### **7.1.10 INT 17**

**INT 17** – Address validation.

Melissa Data is used for address validation. There is a web service applications call for address validation and Lat/Long information. Below is the link to the Melissa Data website.

<http://wiki.melissadata.com/index.php?title=Welcome>

## **7.2 INTERFACES CONTAINING SENSITIVE INFORMATION**

The following interfaces contain sensitive information which limits the release of detailed interface definitions to the public. Interface descriptions are provided instead of the actual field definitions. The detailed information will be provided to the SI upon contract award.

### **7.2.1 INT 18**

**INT 18** – Custom code (VB); Retrieves fingerprint result text file from an FDLE FTP server; Files result into IPM.

#### **Finger Print Results Program**

##### **BRIEF DESCRIPTION:**

This is a program that runs hourly and extracts demographic information from FDLE finger print results

##### **JOB INPUT:**



FindFDLEEmail.ini (distribution list when job fails)

**JOB OUTPUT:**

Text File filed into IPM

**DETAIL INFORMATION:**

**Job Information:**

**Processing Finger Print Results**

Criminal history results are received via FTP from FDLE. A file containing the results is placed on the division's FTP server. A program runs hourly which reads the contents of the .tmp files to determine the type of result (clean, rap, reject, etc.) and extracts demographic information for indexing the image into the document management system.

Below you will find the verbiage in the .tmp file being searched and the data extracted:

- "Applicant Name" The name of the applicant
- "Applicant SSN" Applicant Social Security Number
- "TCN:" TCN
- "Submitted OCA:" Tracking Number
- "Customer ORI Number:" ORI Number
- "Terrorist Screening" (results are not filed in system, file is emailed to Assistant Dir)
- "MENTAL COMPETENCY DATABASE" changes package routing
- "There was NO Florida Criminal History Record Identified" Clean
- "There was NO National/FBI Criminal History Record Identified" Clean
- "CWCS SYSTEM NOTIFICATION MESSAGE" Flagged as FDLE report
- "TRANSACTION REJECTED BY FBI" Rejected fingerprint

Results received are added to the package in the electronic document management system and routed for processing. If an application has not been received and there is no package in the system, the results are indexed and put into the system awaiting the application.

**7.2.2 INT 19**

**INT 19 – Reflections:** Legacy system that provides interface via created custom forms to Oracle RDB.

**7.2.3 INT 20**

**INT 20 – MENTAL COMPTENCY (MECOM) REPORT -** Weekly mental capacity reports are dropped and business rule processes are cross referenced against this data.



File is dropped on FTP Server, picked up by DoL for processing. DoL code creates report based on file retrieved from FDLE.

## MENTAL COMPETENCY REPORT

### BRIEF DESCRIPTION:

This is a weekly batch program that checks against the Concealed Weapons database for licensees with legal proceedings of mental competency.

### JOB INPUT:

COBOL: MECOMINPUT\_790\_COB.COB

### SQL:

SR\_EVENT\_IND\_SQL

SR\_LICG\_LIC\_IND\_EVENT\_SQL

### JOB OUTPUT:

MECOM\_PRINT\_790.DAT

MECOM\_MATCH\_OUTPUT\_790 (Exclusion file)

### JOB RUNSTREAM:

#19 on the UPON\_REQ\_QUARTERLY\_BATCH\_JOB\_MENU or  
SUBMIT\_MECOMINPUT.COM

### JOB DISTRIBUTION:

Emailed to Debra McMillian, Beverly Springer and Lisa Trimble

### DOACS/Division of Licensing Match Criteria:

### DETAIL INFORMATION:

#### Job Information:

There are four files transferred (FTP) on Monday mornings from FDLE: FDLEMHF\_PERSONmmddyyyy; FDLEMHF\_CRACTmmddyyyy; FDLEMHF\_ALIASmmddyyyy; and FDLEMHF\_ADRSSmmddyyyy (mmddyyyy = month, day and year.) The date is the creation date by FDLE and requires the files to be zipped before transfer to Production. The FDLE file is compared to our database. FDLE Input data consists of names (including aliases),





social security number, and date of birth, race, sex and declaration of mental capacity. Records selected are then compared to the remaining three input files for court action, aliases and known addresses. Comparisons are for Concealed Weapons licensees only. Criteria for matches to our database are a combination of the following:

1. Social security number-match of 6 digits or more.
2. Name match of 15 characters or a match of first or last name.
3. Birth month/day or year must match.
4. Sex match required when no Social Security number is available.

Criteria for printing database matches to a report:

1. If the social security number is not an exact match but has 6 digits or more that match plus a name match (#2 above), the name will be added to the report.
2. If there is no social security number, a name match (#2 above), sex plus part or all of the birth date (#3 above) must match before the name is extracted.
3. If an exact social security match is found, a 7 or 15 characters match of the name or a first or last name exact match, the licensee will be extracted.
4. If the social security number does not match but the name (15 characters) , sex, and all of the birth date match, the license owner will be printed on the report.

Exceptions:

The exception to pulling any extracted licensee for the FDLE Match Report is when a license status has the licensee in a denied, expired or void state.

(These statuses include 29, 30, 34, 69 (3 months expired), 70, 71, 87, & 89.) If license status is an 84 and license has been expired for more than 3 months then do **not** extract license to the report. Also, if an 84 status and an event 70 have been added to the event history, do **not** pull this into the extract file for the report.

#### **7.2.4 INT 21**

**INT 21** —A file is dropped on an FTP Server, picked up by DoL for processing. DoL code creates report based on file retrieved from HSMV.

Business rule processes are cross referenced against this data to find applicants or licensees and take appropriate action.

### **HSMV/ INCOMPETENT PERSONS PROGRAM**

#### **BRIEF DESCRIPTION:**

This is a batch job that will match Highway Safety Motor Vehicle input against the Division of Licensing database for reporting any crimes that will halt the privilege of carrying a license.

Matches are reviewed by Susan Harrell/Bureau Chief of License Issuance.



**JOB INPUT:**

Cobol: HSMV\_INPUT\_COB.COB  
SQL: SR\_LICG\_LIC\_RPT\_SQL  
Fetch: FET\_IND\_NAME\_SS\_COB  
FET\_ACTUAL\_IND\_NAME\_BWD\_COB  
FET\_ACTUAL\_IND\_NAME\_FWD\_COB  
Input: LICG\_HSMV.DAT

**JOB OUTPUT:**

LICG\_HSMVINPUT1.RPT

**JOB RUNSTREAM:**

#17 Monthly Menu  
or SUBMIT\_HSMV\_REPORT.COM

**JOB DISTRIBUTION:**

Emailed to Debra McMillian, Beverly Springer and Lisa Trimble

**DOACS/Division of Licensing Match Criteria**

**DETAIL DESCRIPTION:**

Criteria for matches are a combination of the following:

1. Social security number match of 6 digits or more.
2. Name match of 12 characters or a match of first or last name.
3. Birth month/day or year must match.
4. Sex match required when no Social Security number is available.

Criteria for printing database matches to a report:

1. If the social security number is not an exact match but has 6 digits or more that match plus a name match (#2 above), the name will be added to the report.
2. If there is no social security number, a name match (#2 above), sex plus part or all of the birth date (#3 above) must match before the name is extracted.
3. If an exact social security match is found, a 7 or 12 characters match of the name or a first or last name exact match, the licensee will be extracted.
4. If the social security number does not match but the name (12 characters) and sex, and all of the birth date match, the license owner will be printed on the report.

Exceptions:



1. The exception to pulling any extracted licensee for the HSMV Match Report is when a license status has the licensee in a denied, expired or void state. (These statuses include 29, 30, 34, 69, 70, 71, 84 and 96.)
2. If SS (or 000000000), name, offense, suspension date and restore date is equal to the preceding record, this record will be skipped.
3. These offenses are extracted in the input file: 6, 9, 10, 11, 12, 13, 15, 23, 24, & 51. Any other offense will be displayed on log file in other offense counts.



**HSMV Job Definition and Extract Criteria: (data on tape received from HSMV)**

Job Name: \$DMS160  
 Contact: Gorden Barineau  
[Barineau.Gorden@hsmv.state.fl.us](mailto:Barineau.Gorden@hsmv.state.fl.us)  
 Systems Project Administrator  
 850-617-2187

Job scans the driver database and select records of those who have been declared incompetent – Suspension Code **51** or Revocation Code **09, 10,11,12,13,15,23,24**

**7.2.4.1 TYP CODE FOOTNOTE SEQ NUM DESCRIPTION**

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SUS	51	10024	ADJUDGED INCOMPETENT
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**7.2.4.2 TYP CODE FOOTNOTE SEQ NUM DESCRIPTION**

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REV	9	10027	DUI MANSLAUGHTER/DUI/DUBAL/VEH HOM
REV	10	10027	M' SLAGHTER/DUI/DUBAL/DUI M' SLAUGHTER
REV	11	10027	DRIVING UNDER THE INFLUENCE
REV	12	10027	DRIV/ACT PHY CTL-NARC, BARB, STIM
REV	13	10027	DUI/ACT PHY CTL-NARC, BARB, STIM
REV	15	10027	DRIV W/AN UNLAW BLOOD ALCHL LEV
REV	23	10027	DUI - SERIOUS BODILY INJURY
REV	24	10027	DUI-PROPERTY DAMAGE/PERSONAL INJ



### 7.2.5 INT 22

**INT 22** – A file is dropped on an FTP Server, picked up by DoL for processing. DoL code creates report based on file retrieved from DOC. Business rule processes are cross referenced against this data to find applicants or licensees and take appropriate action.

## **CORRECTIONS \_INPUT PROGRAM**

### **BRIEF DESCRIPTION:**

This is a batch job that will run a Correction's Offense file (FTP) and compare to our data base to make sure no licensees have criminal records. An output file containing DOL matches (G and W types only) are then returned to Department of Corrections (DOC).

### **JOB INPUT:**

COBOL: CORRECTIONS\_INPUT\_COB.COB

SQLS: SR\_EVENT\_IND\_SQL

FETCH: FET\_IND\_NAME\_SS\_COB

FET\_ACTUAL\_IND\_NAME\_FWD\_COB

INPUT: CORRECTIONS.DAT (see Detail Information)

### **JOB OUTPUT:**

CORR\_OFFENDER.DAT: Correction identifier, Name, SS#, DOB, license and status of license.

CORRECTIONS\_OUTPUT\_493.DAT: SSN, Name, DOB, Race, Sex, Corrections

Offense # and License matched on DOL

plus Correction info from input file for 493 records.

CORRECTIONS\_OUTPUT\_790.DAT: SSN, Name, DOB, Race, Sex, Corrections

Offense # and License matched on DOL

plus Correction info from input file for 790 records.



## **JOB RUNSTREAM:**

SUBMIT\_CORRECTION\_INPUT.COM or Monthly menu #19

## **JOB DISTRIBUTION:**

Emailed to Debra McMillian, John Raymaker, Beverly Springer and Lisa Trimble.

## **DOACS/Division of Licensing Match Criteria**

### **DETAIL DESCRIPTION:**

The file is transferred (FTP) on the first working day of every month from the Department of Corrections (DOC). The date entered on the report reflects the month and year the file is received from DOC. The DOC file is compared to our database. Corrections Input data consists of offender's name; Correction Identifier; county where convicted; release date (later than 1975); sentence date; offense description; sex; race; date of birth; Social Security Number; eye color; adjudication withheld (Y or N); code of "P" or "I" (Inmate or Parole) and Supervision type code.

A "Corrections Offender file" is returned to DOC through an E-mail attachment that includes Correction Identifier; Name; SSN; DOB; license number and status of license contained on our database. Only licensees holding a G, W, WJ, WR, WS and WX are extracted to the Correction Offender file returned to DOC. The following status codes are ignored:  
29,30,34,69,70,87,71,84,89,51,96.

(Note – only active offender status codes (11 and 21) are pulled by the Department of Corrections.)

### **Criteria for matches to our database are a combination of the following:**

1. Social security number-match of 6 digits or more.
2. Name match of 15 characters or a match of first or last name.
3. Birth month/day or year must match.
4. Sex match required when no Social Security number is available.

### **Criteria for printing database matches to a report:**

1. If the social security number is not an exact match but has 6 digits or more that match plus a name match (#2 above), the name will be added to the report.
2. If there is no social security number, a name match (#2 above), sex plus part or all of the birth date (#3 above) must match before the name is extracted.
3. If an exact social security match is found, a 7 or 15 characters match of the name or a first or last name exact match, the licensee will be extracted.



4. If the social security number does not match but the name (15 characters) , sex, and all of the birth date match, the license owner will be printed on the report.

**Exceptions:**

1. The exception to pulling any extracted licensee for the Correction Match Report is when a license status has the licensee in a denied, expired or void state. (These statuses include 29, 30, 34, 51, 69, 70, 71, 84, 87, and 89.)  
(\* If 84 status and a 70 event is NOT listed then extract into the pull file!!!!)
2. Duplicates are omitted in the logic if the offense, sentence date, and Correction's Identifier all match.

**7.2.6 INT 23**

[INT-23-CTRManager](#)

Document is embedded into this Deliverable due to length.

**7.2.7 INT 24**

[INT-24-LicManager](#)

Document is embedded into this Deliverable due to length.

**7.2.8 INT 25**

[INT-25-AAManager](#)

Document is embedded into this Deliverable due to length.

**7.2.9 INT 26**

Daily report provided to FDLE containing all concealed weapon licenses within Oracle RDB.

## **SECTION 8 APPENDIX LINK TO MASTER REGULATORY SYSTEMS AND PROGRAMS**

[This is the Master Regulatory Systems and Programs v1](#)



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# **Agriculture & Consumer Services System (AGCSS) PROJECT CHARTER**

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## Department of Agriculture and Consumer Services

### Office of Agriculture Technology Services

December 2015

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*Revision History*

Date	Author	Version	Change Reference
7/3/2017	Charles Coldwell	101	Project Name change (re-branding) update and refresh for DDI Schedule

*Quality Review*

Name	Role	Date



## 1 Project Overview

The department has evaluated the utilization of a Agriculture & Consumer Services System (AGCSS) to standardize regulation and licensing across all of the department's divisions and offices that directly manage regulatory programs. The regulatory application portfolio currently contains more than 60 applications, making standardization problematic. An implementation strategy has been developed to achieve the goals of enterprise regulatory management, while minimizing risks and costs.

The initial implementation will involve two divisions where the new system will yield the greatest benefits. In Release 1 the Division of Licensing (DoL) implementation will subsume the Concealed Weapons Intake System, Licensing Reflections System, Imaging Business and Process Management, and Web-based Fast Track System into an enterprise solution. Also in Release 1 the implementation for the Division of Administration (DoA) will supplement the Agency Clerk, Revenue Online Collection, EGov, and Enterprise E – Commerce System applications, as well as additional components of the Revenue Receipt Accounting System (REV). Division of Licensing Call Center support will also be modernized as part of the implementation.

### 1.1 Problem Statement

The current system environment portfolio includes 68 systems (80% custom, 20% COTS with varying customization). Twelve of the 68 systems support multiple regulatory functions (certification, licensure, permitting, and registration), while another 29 systems support a single regulatory function. Additionally, there are currently 12 systems supporting regulatory functions being used by department employees that are still completely manual.

The majority of these systems were developed for specific division programs a decade or more ago with differing support requirements and end-of-life timeframes. Since there was no strategy to facilitate uniform data across FDACS, these isolated division database environments produce duplicative data across the department, and create a challenging environment to effectively communicate regulatory information internally among divisions and externally to stakeholder groups.

FDACS' regulatory applications currently in place use a wide variety of technologies, design methodologies, and interfaces resulting in an overburden on budget. Stemming from a previous lack of IT governance, there are multiple databases which are unique to specific divisions, and operate without centralized, enterprise oversight within FDACS. FDACS identified three additional key strategic challenges. These include:

- The proliferation of redundant division and office processes and supporting systems exposes FDACS to operational risk, which then increases their administrative and support costs while decreasing its operational efficiency and effectiveness.
- The existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders as a result of outdated and unsupported software and technology.
- From an external perspective, weather forecasts, commodity market reports, disease outbreaks, and international political conflicts require FDACS to make constant operational course corrections.<sup>1</sup>

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<sup>1</sup> Florida Department of Agriculture and Consumer Services. Long Range Program Plan, Fiscal Year 2014-15 through Fiscal year 2018-19 (Tallahassee, FL, 2013), page 17.



In order to overcome these strategic challenges and position the department to better service the needs of its constituents and the residents of Florida, the ultimate goal of FDACS is to implement an enterprise AGCSS. Based upon research and analysis of all of the surrounding documentation, system requirements, and internal objectives, FDACS desires to implement a regulatory system modernization for DoL and all of its applications, then supplement the DoA revenue management system. Once these systems are successfully designed, implemented, and running, the department will then add on the outstanding divisions to the new system, fulfilling the enterprise model of the department.

## 1.2 Project Description

The AGCSS project will include activities to design, develop, and plan the implementation of the new enterprise AGCSS including inventorying and organizing the data and procedures associated with the department's enterprise regulatory responsibilities. Initially implementation will begin with the transformational changes with the DoL and DoA.

Migrating to a new enterprise AGCSS system will require significant changes to business processes within the department. An industry-standard modeling language shall be used to model all processes, information, and systems.

Additionally, oversight, planning, management, execution, and organizational change management activities are key areas of work involved in the implementation. The activities described above fall under the following areas:

- Project Management
- Process
- People
- Technology

The table below represents defines the key responsibilities of each of the implementation teams.

TEAM ROLES	KEY RESPONSIBILITIES
<b>Project Management Team</b>	<ul style="list-style-type: none"> <li>▪ Define Roles and Responsibilities</li> <li>▪ Oversee and Manage Governance and Decision Making</li> <li>▪ Develop and Execute Project Management Approach</li> <li>▪ Develop and Execute Scope Management Plan</li> <li>▪ Develop and Execute Schedule Management Plan</li> <li>▪ Develop and Execute Cost Management Plan</li> <li>▪ Develop and Execute Quality Management Plan</li> <li>▪ Develop and Execute Risk Management Plan</li> <li>▪ Develop and Monitor Procurement Management Plan</li> <li>▪ Develop and Execute Document and Records Management Plan</li> </ul>
<b>Process Team</b>	<ul style="list-style-type: none"> <li>▪ Capture and Refine Business Requirements</li> <li>▪ Define Future State Processes</li> </ul>
<b>People Team</b>	<ul style="list-style-type: none"> <li>▪ Manage Communication</li> <li>▪ Develop and Deliver Learning and Knowledge Activities</li> <li>▪ Define and Manage Value Realization</li> </ul>



TEAM ROLES	KEY RESPONSIBILITIES
	<ul style="list-style-type: none"> <li>▪ Develop and Manage Work Force Transition</li> <li>▪ Define and Manage Organizational Change Management</li> <li>▪ Develop and Execute Human Resources Plan</li> <li>▪ Develop and Deliver Project Communications Plan</li> <li>▪ Develop and Execute Stakeholder Management Plan</li> </ul>
Technology	<p><b>Information</b></p> <ul style="list-style-type: none"> <li>▪ Develop and Manage Data Governance Structure Definition and Implementation</li> <li>▪ Manage Data Migration</li> <li>▪ Manage Business Intelligence Requirements Definition</li> <li>▪ Manage Information Security (such as encryption)</li> </ul> <p><b>Integration</b></p> <ul style="list-style-type: none"> <li>▪ Develop Integrated Solution Design</li> <li>▪ Oversee Configuration Management</li> <li>▪ Oversee Test Management</li> <li>▪ Develop and Oversee Cutover Management</li> </ul> <p><b>Development</b></p> <ul style="list-style-type: none"> <li>▪ Design and Deliver Development Planning and Governance</li> <li>▪ Design and Manage Development Specifications</li> <li>▪ Manage and Deliver Development Object Coding and Unit Testing</li> <li>▪ Manage Development Quality Assurance</li> </ul> <p><b>Infrastructure</b></p> <ul style="list-style-type: none"> <li>▪ Develop and Manage Enterprise System Technical Architecture Design</li> <li>▪ Develop and Manage Enterprise System Security Authorization Design</li> <li>▪ Develop and Manage Enterprise System Administration</li> </ul>

**Exhibit 1: Team Roles and Responsibilities**



### 1.3 Project Goals and Objectives

#### Vision

Implement an enterprise department regulatory lifecycle management system that empowers customers, supports efficient processes, and positions the department to be responsive to changing operational demands.

#### Objective

The primary objective is to create an improved and standardized enterprise regulatory system with a revenue component to replace the Division of Licensing’s (DoL) current licensing/regulatory applications, and supplement the Division of Administration’s applications that directly support the DoL. This objective will set the foundation for subsequent releases. In addition to setting this foundation, the department will gain knowledge through lessons learned through the inventorying and organizing of enterprise department data and procedures.

#### Goals

- Enhance the customer experience in all interactions both with and within the department.
- Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques.
- Enable an enterprise customer service operation.
- Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues.

In accordance with the achievement of the stated objectives and goals, the project is expected to deliver several benefits. A summary of the estimated benefits from the enterprise, integrated AGCSS system is displayed in the Exhibit below.

#	DESCRIPTION OF BENEFIT	TANGIBLE / INTANGIBLE	BENEFIT RECIPIENT	HOW WILL BENEFIT BE MEASURED?
1	Increase process efficiencies in anticipation of growth in overall transaction volume – estimated at \$26,048,727 annually when fully implemented (increased at an annual inflation rate of 1.5%). <sup>2</sup>	Tangible	Applicants Permit/License Holders FDACS/State Citizens	Avoiding the majority of costs of adding staff to meet anticipated growth in permitting, licensure, inspection, and consumer response volumes.
2	Avoiding known costs of a previous system modernization involving only DoL from five years ago –	Tangible	FDACS/State Citizens	Avoiding the cost funding individual division system modernization projects.

<sup>2</sup> “140923-FDACS-Cost-Model-v001” Excel document. October 29, 2014.



#	DESCRIPTION OF BENEFIT	TANGIBLE / INTANGIBLE	BENEFIT RECIPIENT	HOW WILL BENEFIT BE MEASURED?
	benefit is estimated over the life of the planned implementation at a total of \$10,900,000. <sup>3</sup>			
3	Enhance Emergency Response capabilities	Intangible	FDACS/State  Citizens	Reduce the overall response time and level of effort required to support the Emergency Response effort.
4	Support anticipated growth in inbound calls to Consumer Services	Intangible	FDACS/State  Citizens	Avoiding the cost of adding staff to meet anticipated growth in call volume.
5	Inspections will be able to be more tightly targeted to areas of risk	Intangible	FDACS  Regulated Businesses and Industries  Public	This benefit is a part of the efficiencies gained by the department for its inspection activities from this project. While challenging to quantify, being able to better target areas of inspection may reduce the overall number of inspections needed.
6	Improved communication, cooperation, and collaboration of regulatory information between FDACS program areas and divisions	Intangible	FDACS  Regulated Businesses	This benefit is a part of the efficiencies gained by the department for its inspection activities from this project. While challenging to quantify, reducing the amount of data that needs to be collected during all inspections will improve the efficiency of inspection.
7	Improved program accountability through real-time access to data; increased visibility into how the department performs its regulatory activities	Intangible	FDACS  Legislature  Regulated Businesses and Industries  Public	Increased involvement in the accountability process.
8	Coordinated inspection scheduling to facilitate cross-	Intangible	FDACS  Regulated Businesses	Anticipated reduction in inspection visits, increased knowledge of department

<sup>3</sup> Appendix C: Chapter 2, Section 4.3.3.1 Tangible Benefit Calculation.



#	DESCRIPTION OF BENEFIT	TANGIBLE / INTANGIBLE	BENEFIT RECIPIENT	HOW WILL BENEFIT BE MEASURED?
	program tasking where appropriate			regulatory efforts related to a site.
9	More timely and comprehensive cross-program area responses to requests for information	Intangible	FDACS Legislature Regulated Businesses and Industries Public	Responding with more complete information provided in a timely manner to those requesting information from FDACS.
10	Improved department anticipation of and response to situations/events	Intangible	FDACS Legislature Regulated Businesses and Industries Public	More timely responses to situations/events.
11	Rapid response to changing regulatory requirements	Intangible	FDACS	More timely responses to legislative mandates.
12	Increased customer satisfaction with the department	Intangible	FDACS Legislature Regulated Businesses and Industries Public	Reduction in number of customer complaints regarding the department.
13	Increased customer and public engagement with the regulatory process	Intangible	FDACS Legislature Regulated Businesses and Industries Public	Improved relations between FDACS and regulated entities and the public.
14	Improved security stemming from enhanced emergency response capabilities	Intangible	FDACS Legislature	Increased data and communication of data within





#	DESCRIPTION OF BENEFIT	TANGIBLE / INTANGIBLE	BENEFIT RECIPIENT	HOW WILL BENEFIT BE MEASURED?
			Regulated Businesses and Industries  Public	FDACS and to the public during emergency situation response.
15	Single online payment portal for customers to pay for an authorization, license, renewal, certification, registration, or permit which the Department regulates	Intangible	Regulated Businesses and Industries	Decreased online payment accounts required to do business with FDACS; increased online payment interactions with FDACS.
16	FDACS is internally more responsive to the mission and IT vision as communicated by executive leadership, and will continue to be as leadership changes	Intangible	FDACS  Legislature	FDACS regulatory systems are aligned with the department's IT Strategic Plan.
17	Empowers the department to achieve its related missions of improved customer service, efficiency of operations, and internal and external accountability.	Intangible	FDACS  Legislature  Regulated Businesses and Industries  Public	Increased customer satisfaction related to improved online payment portal and decreased touch points with FDACS to gather information and transact business.

**Exhibit 2: Expected Benefits**

FDACS identified numerous additional features available in modern systems which will provide value to both license holders and FDACS employees. Examples of these additional benefits include:

- Improved self-service portal functionality for license holders
- Enhanced mobile functionality available for inspectors
- Enhanced geospatial mapping for inspectors and emergency response plans
- Where appropriate, streamlined training of staff around standard functionality
- Improved risk-based inspection assignments as a result of an enterprise data model
- Improved program accountability through real-time access to data
- Increased data quality and accuracy through reduction in duplicate data
- Improved sense of data security stemming from up-to-date security technologies and coverage



## 1.4 Project Stakeholders

A broad group of stakeholders will be impacted by the expected AGCSS project benefits as well as by the design, development, and implementation of the AGCSS project.

The full implementation of the enterprise-wide AGCSS will yield many benefits – both tangible and intangible – to a broad group of internal and external stakeholder groups. The following table provides details about these various groups.

STAKEHOLDER	INTERNAL/EXTERNAL	STAKEHOLDER DESCRIPTION
<b>FDACS Executive Leadership</b>	<ul style="list-style-type: none"> <li>Internal</li> </ul>	<ul style="list-style-type: none"> <li>Sets overall strategic direction, serve as key decision-makers, funding authority</li> </ul>
<b>Division Directors/Office Directors</b>	<ul style="list-style-type: none"> <li>Internal</li> </ul>	<ul style="list-style-type: none"> <li>Division of Licensing, Division of Administration, and AG Law Directors impacted by Release 1</li> </ul>
<b>Assistant Directors</b>	<ul style="list-style-type: none"> <li>Internal</li> </ul>	<ul style="list-style-type: none"> <li>Heavy day-to-day involvement in the Project</li> </ul>
<b>Bureau Chiefs/Directors</b>	<ul style="list-style-type: none"> <li>Internal</li> </ul>	<ul style="list-style-type: none"> <li>Involved in the AGCSS Project as SMEs, Participants in workshops, Coordinate project activities with Staff</li> </ul>
<b>FDACS AGCSS End-Users</b>	<ul style="list-style-type: none"> <li>Internal</li> </ul>	<ul style="list-style-type: none"> <li>Involved in the AGCSS Project as SMEs, Participants in workshops, observations</li> </ul>
<b>FDACS Non-AGCSS Users</b>	<ul style="list-style-type: none"> <li>Internal</li> </ul>	<ul style="list-style-type: none"> <li>Involved in the AGCSS Project to provide feedback on potential operational and technical impact of the AGCSS Project on Non-AGCSS users</li> </ul>
<b>Florida County Tax Collectors</b>	<ul style="list-style-type: none"> <li>External</li> </ul>	<ul style="list-style-type: none"> <li>External Partners who provide Licensing Intake activities in their offices, Participants in observations</li> </ul>
<b>Governmental, Legislative, Oversight</b>	<ul style="list-style-type: none"> <li>External</li> </ul>	<ul style="list-style-type: none"> <li>Others with key interests, oversight authority, funding authority</li> </ul>
<b>Governmental Stakeholders</b>	<ul style="list-style-type: none"> <li>External</li> </ul>	<ul style="list-style-type: none"> <li>Additional interested Governmental parties who can provide feedback on areas that could impact or be impacted by the AGCSS Project</li> </ul>
<b>Information Sharing Partners</b>	<ul style="list-style-type: none"> <li>External</li> </ul>	<ul style="list-style-type: none"> <li>External resources such as FDLE who will be impacted by process changes at FDACS</li> </ul>
<b>As Needed Information Partners</b>	<ul style="list-style-type: none"> <li>External</li> </ul>	<ul style="list-style-type: none"> <li>Additional partners who may be involved to provide information to support the AGCSS Project</li> </ul>
<b>External Stakeholders</b>	<ul style="list-style-type: none"> <li>External</li> </ul>	<ul style="list-style-type: none"> <li>Non FDACS groups involved to provide feedback on how the AGCSS Project might impact or be impacted by the interest or needs of their respective members</li> </ul>



STAKEHOLDER	INTERNAL/EXTERNAL	STAKEHOLDER DESCRIPTION
Consumers, Customers, License and Permit Holders, Applicants, General Public	<ul style="list-style-type: none"><li>External</li></ul>	<ul style="list-style-type: none"><li>External stakeholders impacted by the rollout of the AGCSS Project and the system related public-facing and customer service features and functionality</li></ul>

**Exhibit 3: Project Stakeholders**

### 1.5 Project Scope

The scope of the AGCSS Project is to implement an enterprise regulatory management solution for the Florida Department of Agriculture and Consumer Services. Because of the complexity, scope, and risk in consolidating 68 disparate systems (and 12 programs that are currently manual), the department will utilize a phased implementation approach involving three releases. Breaking down the implementation into releases can provide significant risk mitigation. The following implementation plan is based on a “Crawl, Walk, Run” release approach. This approach starts by implementing the Divisions of Licensing and Administration, thus demonstrating business value before committing to an enterprise implementation. The focus during Release 1 (Crawl) is validation and refinement of the implementation tasks and deliverables. Lessons learned from the first release can be used to plan delivery of a larger scale roll out to two or three Divisions in Release 2 (Walk). In the Walk release, the focus will be on refining and optimizing the project schedule (e.g. load balancing of government and contractor resources). Refinements from the Walk release are then incorporated and used to implement the full-scale implementation for the remaining Divisions in Release 3 (Run).

#### 1.5.1 Requirements

The Divisions and Offices within the department are responsible for a broad range of services and regulatory activities. Requirements will be detailed during the requirements definition phase.

#### 1.5.2 Project Phases

Breaking down the implementation into releases can provide significant risk mitigation. The following implementation plan is based on a “Crawl, Walk, Run” release approach. This approach starts by implementing Licensing and Administration, which demonstrates business value before committing to a broad scale implementation.

##### **Release 1 (Licensing and Administration) – Crawl**

The focus during Release 1 (Crawl) is validation and refinement of the implementation tasks and deliverables. The effort will begin with the Division of Licensing and Division of Administration transformation and move into sustainment 22 months after start up. Lessons learned from the first release can be used to plan delivery of a larger scale roll out to two or three divisions in Release 2 (Walk).



### Exhibit 1: AGCSS Project Timeline

#### Release 2 – Walk

The second release will implement AGCSS functionality with a couple of “early adopters” that are representative of other divisions. The scheduled duration of Release 2 is 12 months. In the Walk release, the focus will be on refining and optimizing the project schedule (e.g., load balancing of government and contractor resources). This is done to validate the scalability of the implementation tasks from the first release. It will also enable FDACS and the system integrator to build team resources through a “train the trainer/facilitate the facilitator” approach. Many enterprise application projects fail due to contention for key project resources. Projects must be realistic about availability of department resources that may continue to have normal job duties. This release will mitigate this risk by providing an opportunity to establish realistic scheduling of resources, both internal and external.

#### Release 3 - Run

Refinements from the Walk release are then incorporated and used to implement the full-scale implementation for the remaining divisions in Release 3 (Run). Release 3 is scheduled to run 11 months, overlapping the end of release 2 for three months. This release would be used to implement the remaining divisions and applications. Interfaces to any applications that are not migrated to AGCSS would also be built and implemented.

There are five implementation phases which are performed for each release lifecycle:

- *Plan and Assess* – planning and preparation to ease design ramp-up
- *Design* – gather requirements, design processes, and solidify scope
- *Develop* – build and test the designed solution
- *Implement* – end user education, user acceptance, and migration activities
- *Post Implementation* – transition from Project mode into a live, supported production operation

The tasks in these phases are assigned to four basic domains (project teams).

- *Project Management* – address return on sponsor investment for the project
- *Process* – address business requirements and benefits
- *People* – facilitate effective and efficient transition to the new business model
- *Technology* – facilitate information quality and integrity, integrate task and solution dependencies across domains and project phases, and deliver objects that address specifications and coding quality standards and management of appropriate application architecture and technical infrastructure



### 1.5.3 Project Milestones

Milestones represent the completion of significant work packages, the start or end of a project phase, or some other key event. For activities in the AGCSS Enterprise Project Schedule, milestones are used for two main purposes: 1) to designate key progress markers or events that can be used to monitor and measure project progress and provide management review points, and 2) to establish dependencies between the AGCSS sub-projects. The major milestones for each phase of the AGCSS Project are listed in Exhibit 4 below:

RELEASE 1	RELEASE 2	RELEASE 3
<ul style="list-style-type: none"> <li>▪ Initiate Release 1</li> <li>▪ Initiate Plan and Assess Phase</li> <li>▪ Initiate System and Data Strategy Activities</li> <li>▪ Initiate Procurement</li> <li>▪ Initiate OCM Program</li> <li>▪ Begin Detailed Requirements Gathering / Business Analysis</li> <li>▪ Complete Detailed Requirements Gathering/ Business Analysis</li> <li>▪ Close Procurement</li> <li>▪ Initiate Integration Planning and Analysis</li> <li>▪ Initiate Design Phase</li> <li>▪ Initiate Development Phase</li> <li>▪ Initiate Implementation Phase</li> <li>▪ Initiate Workforce Transition</li> <li>▪ Complete System and User Acceptance Testing</li> <li>▪ Complete Implementation Phase</li> <li>▪ Close Integration Planning and Analysis</li> <li>▪ Begin Post-Implementation Phase</li> <li>▪ Complete Workforce Transition</li> <li>▪ Execute AGCSS Cost-Benefit Analysis</li> <li>▪ Conduct Readiness Assessment for Release 2 Divisions</li> <li>▪ Determine Lessons Learned</li> <li>▪ Close Release 1</li> </ul>	<ul style="list-style-type: none"> <li>▪ Initiate Release 2</li> <li>▪ Initiate Plan and Assess Phase</li> <li>▪ Initiate OCM Program</li> <li>▪ Begin Detailed Requirements Gathering</li> <li>▪ Complete Detailed Requirements Gathering / Business Analysis</li> <li>▪ Initiate Integration Planning and Analysis</li> <li>▪ Initiate Design Phase</li> <li>▪ Initiate Development Phase</li> <li>▪ Initiate Implementation Phase</li> <li>▪ Initiate Workforce Transition</li> <li>▪ Complete System and User Acceptance Testing</li> <li>▪ Complete Implementation Phase</li> <li>▪ Close Integration Planning and Analysis</li> <li>▪ Begin Post-Implementation Phase</li> <li>▪ Complete Workforce Transition</li> <li>▪ Conduct Readiness Assessment for Release 3 Divisions</li> <li>▪ Determine Lessons Learned</li> <li>▪ Close Release 2</li> </ul>	<ul style="list-style-type: none"> <li>▪ Initiate Release 3</li> <li>▪ Initiate Plan and Assess Phase</li> <li>▪ Initiate OCM Program</li> <li>▪ Begin Detailed Requirements Gathering</li> <li>▪ Complete Detailed Requirements Gathering / Business Analysis</li> <li>▪ Initiate Integration Planning and Analysis</li> <li>▪ Initiate Design Phase</li> <li>▪ Initiate Development Phase</li> <li>▪ Initiate Implementation Phase</li> <li>▪ Initiate Workforce Transition</li> <li>▪ Complete System and User Acceptance Testing</li> <li>▪ Close Integration Planning and Analysis</li> <li>▪ Complete Implementation Phase</li> <li>▪ Begin Post-Implementation Phase</li> <li>▪ Complete Workforce Transition</li> <li>▪ Determine Lessons Learned</li> <li>▪ Close Release 3</li> </ul>

**Exhibit 4: AGCSS Milestones by Phase**

### 1.6 Critical Success Factors

Critical success factors identified for the AGCSS project include but are not limited to the following:

- Executive management is engaged throughout the implementation. Executives will attain an understanding of the overall project scope, budget, milestones and key deliverables through monthly meetings. Key executives should create a vision for success, approve necessary resources, motivate the project management team and make high-level and sometimes tough decisions.



- The establishment and maintenance of an enterprise Project Management Office over the life of the project to ensure the standardization of the project management processes and the visibility of project performance across the project teams, external stakeholders, and project and agency governance committees.
- The development and implementation of a procurement strategy and plan to conduct the project solicitations. A well-defined procurement strategy and plan will maximize opportunities to achieve system integration and flexibility as well as provide business value.
- Alignment of vendor and consultant contracts, roles, responsibilities, and relationships to establish a cohesive, collaborative, and harmonious team mutually focused on program goals and objectives.
- The development and implementation of an organizational change management (OCM) strategy and plan that will ensure timely stakeholder communications and provide for an efficient organizational and workforce transition to the new AGCSS with minimal disruption to the agency's day-to-day operation.
- The establishment and application of the appropriate level of Governance provides adequate oversight, management, and control to keep projects on track and on target without introducing unnecessary layers of administration that can stall effective and efficient decision-making and ultimately project progress.
- Management of requirements and system customizations ensure that project scope is maintained and stakeholder expectations and needs are met without costly impacts to schedule, quality, or budget.
- Scaled value realization allows project teams to envision the big picture and then partition the project into smaller units and release cycles thereby reducing the risk of a large implementation while incrementally realizing the full project value.

## 1.7 Assumptions

Assumptions identified for the AGCSS project include but are not limited to the following:

- The Project Team has access to all supporting data that is pertinent and available to deliver the outcomes of this engagement.
- Department staff and other stakeholders are available and actively participate in interviews and meetings and will respond to requests in a timely manner.
- The Project Team, department resources, and AGCSS stakeholders recognize that time is of the essence and will prioritize their participation accordingly.
- The department will coordinate the availability of appropriate staff for consultation during the project as required to meet project timelines.
- The Project and Portfolio Management Office (PPMO) Manager will coordinate with the Project Management Team so project goals, deliverables, and requirements are met within timelines established for this project.
- The department will inform the Project Management Team in a timely manner of any people, process, or technology changes within FDACS which could impact the project.



- The department will review, provide feedback, and approve/reject all project deliverables in accordance with contractual obligations.
- The AGCSS Project Team will adhere to the standards and process as set forth in the PMP.
- Deliverables will go through the vendor's Project Management Team quality review prior to being submitted to the department for review and/or approval.
- Independent Verification and Validation by an outside third party will be conducted to ensure the AGCSS meets requirements and specifications.

The following guiding principles are additional assumptions that have been established for the planning, development, implementation, and operation of AGCSS:

- The project will adhere to a scope management plan to manage the impact of program changes to scope.
- Business and management requirements developed within the project are consistent with Federal and State requirements.
- The operation and maintenance of the new system will be the responsibility of either the Office of Agriculture Technology Services (OATS) or a contracted vendor.
- There will be qualified contractors willing to partner with the department to design, develop, implement, and maintain the new system.
- The project will be managed in accordance with the Project Management Body of Knowledge (PMBOK®) published by the Project Management Institute (PMI).

## 1.8 Constraints

Constraints identified for the AGCSS Project include but are not limited to the following:

- State and Federal regulations.
- Department resource availability due to other projects or regular operations.
- All subsequent Schedule IV-B documents must be completed by October 15th of each year to request legislative funding for the next fiscal year.

## 1.9 Project Risks

The Project Management Plan will articulate the process for capturing risks identified throughout the project and their corresponding responses.

## 2 Project Authority

The AGCSS Project Organization consists of two integrated tracks of authority:

- Project Governance Authority
- Project Management Authority



Project Governance includes the activities and associated roles and responsibilities required to provide leadership, strategic direction, control, and accountability.

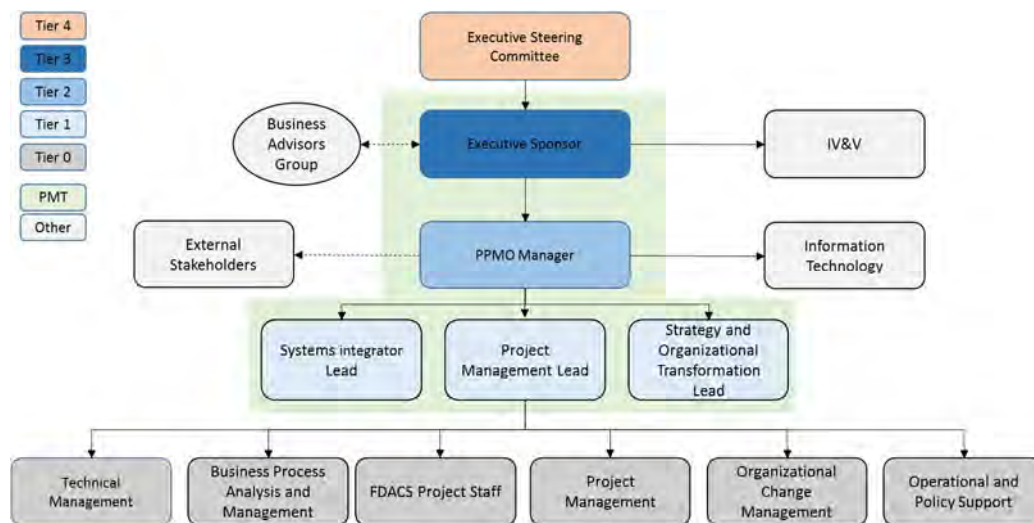
Project Management is concerned with administration and delivery through planning, monitoring and reporting. While the two areas are related, they are distinctly different functions.

The following sections describe the roles and responsibilities of the Project Organization.

## 2.1 Project Organization

The Project Organization includes the following project team and stakeholders:

- Executive Steering Committee
- Executive Sponsor
- Independent Verification and Validation (IV&V) Vendor
- PPMO Manager
- FDACS Project Management Lead
- Other Project Management Leads
- Business Advisors Group
- Project Teams
  - › Project Management Team (PMT)
  - › System Integrator Team
  - › Strategy and Organization Transformation Teams
- External Stakeholders
- Information Technology



*Exhibit 2: AGCSS Project Organization and Governance Structure*





**Exhibit 5: AGCSS Project and Organization and Governance Structure** depicts the Governance structure for the AGCSS Release 1 Project. This structure utilizes a multi-tiered approach, with the goal of pushing decision-making to the lowest level possible.

At **Tier 4**, the Governance structure is headed by an Executive Steering Committee supported by a strategic advisors group of leaders from the affected areas of the organization.

**Tier 3** consists of the Executive Sponsor, with support from a Business Advisory Group. The Sponsor is also supported by an independent IV&V function to ensure that there is visibility into the health of project processes and associated project operations.

**Tier 2** is based in the PPMO, with the PPMO Manager serving as the escalation point at this level. The PPMO manager and his team are the point of entry and communication with Information Technology and External Stakeholders.

**Tier 1** is at the Project Level and consists of the Project Managers as they interact with the workstream leads for the individual initiatives making up the AGCSS Program to address issues, actions, risks, opportunities, and decisions that cannot be managed by the workstream project teams. For the purposes of the AGCSS Release 1 Project, this tier consists of the FDACS Project Manager and the vendor project manager.

**Tier 0** consists of the workstream leads for the System Integrator, Project Management, and Strategy and Organizational Transformation and their respective project teams. This is the level at which issues and opportunities are typically identified and often resolved prior to raising them to Project Management.

This Governance Structure will be enhanced as the Enterprise Project Management Plan and associated processes are developed during the AGCSS Release 1 Project.

## 2.2 Project Roles and Responsibilities

The table below represents defines the key responsibilities of each of the implementation teams.

As depicted above, the Project Management Team (PMT) consists of the FDACS Project Sponsor, the PPMO Manager, the FDACS Project Management Lead, and the other Project Management Lead. This group serves as the primary team responsible for operation of the project and for resolution of risks, issues, actions, decisions, and other related project management processes with the intent of minimizing the number of items escalated to the Executive Steering Committee.

The following exhibit (**Exhibit 6: Project Governance – Roles & Responsibilities**) is a description of the roles and responsibilities:

ROLE NAME	DESCRIPTION	STAKEHOLDER
<b>Executive Steering Committee</b>	<ul style="list-style-type: none"> <li>▪ Provides executive oversight to the project</li> <li>▪ Establishes and supports the project vision and strategic direction</li> <li>▪ Resolves escalated issues</li> <li>▪ Final Decision on scope and cost changes</li> </ul>	Chief of Staff Deputy Commissioners Office of Policy and Budget Legislative Affairs Director Inspector General
<b>Executive Sponsor</b>	<ul style="list-style-type: none"> <li>▪ Coordinates/Identifies business resources</li> </ul>	FDACS Chief Information Officer



ROLE NAME	DESCRIPTION	STAKEHOLDER
	<ul style="list-style-type: none"> <li>▪ Controls project budget</li> <li>▪ Serves as Liaison to the Agency for State Technology (AST)</li> <li>▪ Has programmatic decision making authority</li> <li>▪ Champions the project</li> <li>▪ Provides business resources for project success</li> <li>▪ Has programmatic responsibility for successful development and implementation of the project</li> <li>▪ Has IT decision-making authority</li> <li>▪ Provides IT resources for project success</li> <li>▪ Has responsibility for successful development and implementation of the project</li> <li>▪ Facilitates communication with the Governance Board</li> </ul>	
IV&V Vendor	<ul style="list-style-type: none"> <li>▪ Monitors project management processes and provides feedback on any deficiencies noted</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Presents to EMT on IV&amp;V activities</li> <li>▪ Future - Verifies that the system is developed in accordance with validated requirements and design specifications</li> <li>▪ Future - Validates that the system performs its functions satisfactorily</li> </ul>	
PPMO Manager	<ul style="list-style-type: none"> <li>▪ Has overall responsibility for the successful development and implementation of the project</li> <li>▪ Oversees the development and implementation of the project</li> <li>▪ Oversees the Project Management Office for the project</li> <li>▪ Liaison with IT Sponsor for resources</li> <li>▪ Liaison with Project Business Sponsor for business resources and day-to-day activities</li> </ul>	FDACS PPMO Manager
FDACS Project Management Lead	<ul style="list-style-type: none"> <li>▪ Responsible for day-to-day project oversight</li> <li>▪ Provides overall guidance and direction to the System Integrator</li> <li>▪ Coordinates with the PPMO Manager for resources</li> <li>▪ Works with System Integrator Project Manager to ensure stakeholder needs are met (Future)</li> <li>▪ Has daily decision making authority</li> <li>▪ Oversees and manages project plan</li> <li>▪ Facilitates the Business Advisors Group</li> </ul>	FDACS Project Manager



ROLE NAME	DESCRIPTION	STAKEHOLDER
	<ul style="list-style-type: none"> <li>▪ Coordinates project resources, budgets and contract management</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Responsible for project management areas including scope, risk, quality, and change control</li> <li>▪ Coordinates project status communications</li> </ul>	
<b>Other Project Management Leads</b>	<ul style="list-style-type: none"> <li>▪ Responsible for day-to-day oversight of individual teams</li> <li>▪ Has daily decision making authority</li> <li>▪ Oversees and manages individual project plan</li> <li>▪ Coordinates individual project resources,</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Responsible for project management areas including scope, risk, quality and change control</li> <li>▪ Coordinates project status communications to FDACS</li> </ul>	Other Project Managers
<b>Business Advisors Group</b>	<ul style="list-style-type: none"> <li>▪ Responsible for input on functional requirements</li> <li>▪ Participates in project user group meetings and sessions</li> <li>▪ Provides input on project activities</li> <li>▪ Reviews and comments on project documents and deliverables</li> <li>▪ Disseminates project information and updates to local internal/external stakeholders</li> </ul>	Bureau Chiefs – Licensing and Administration
<b>Project Teams</b>	<ul style="list-style-type: none"> <li>▪ Identifies and Communicates Project Risks, Issues, Actions, Decisions</li> <li>▪ Creates Deliverables</li> <li>▪ Participates in Risk/Issue Response</li> </ul>	Team Resources and Leads
<b>External Stakeholders</b>	<ul style="list-style-type: none"> <li>▪ Shares input to the Project Management Team on System and Issues</li> <li>▪ May be involved in Executive oversight</li> <li>▪ Receives communication from the PMT</li> <li>▪ Affected by the project</li> </ul>	Constituents  Legislature  Agency for State Technology  Florida Department of Law Enforcement  Others
<b>Information Technology</b>	<ul style="list-style-type: none"> <li>▪ Responsible for technical resources requested by PMT</li> <li>▪ Impacted by the project</li> </ul>	Chief – Agriculture Management Information Systems



ROLE NAME	DESCRIPTION	STAKEHOLDER
	<ul style="list-style-type: none"> <li>▪ Receives communication from the PMT</li> <li>▪ May be involved in risk response</li> <li>▪ Sets technical and security requirements/standards</li> </ul>	

**Exhibit 6: Project Governance – Roles & Responsibilities**

**2.3 Project Governance**

Governance is the process and structure used to exercise overall control and set the direction for a project. It defines the purpose of the project, sets strategies for attaining the purpose, and gives authority for the use of resources to implement the defined strategies. Governance provides the structure that links process, resources and the business strategies and objectives. Detailed information is provided in the Project Management Plan (PMP).

**2.4 Project Approval Requirements**

Project approval requirements will be developed and maintained as appropriate for the AGCSS Project as detailed in the PMP.

**2.5 Project Manager, Responsibility, Authority**

The Project Management approach utilized by the Project Management Team will be in compliance with the Project Management Body of Knowledge (PMBOK®) standards for Project management. Detailed information is provided in the PMP.

**2.6 Project Sponsor, Authority, and Authorization**

Overall authority and responsibility for the AGCSS Project lies with the project Sponsor. The Project Sponsor has full authority and responsibility for all project activities and outcomes including setting the strategic vision, approving program objectives, evaluating business results, and ensuring that program goals are met from initiation to completion of all AGCSS Project phases.

The table below provides responsibilities and levels of decision-making authority for the Project Sponsor.

ROLE NAME	RESPONSIBILITIES	LEVEL OF DECISION-MAKING AUTHORITY
<b>Project Sponsor</b>	<ul style="list-style-type: none"> <li>▪ Authorize project</li> <li>▪ Oversee project and program direction</li> <li>▪ Perform program- and project-level decision-making and approvals</li> <li>▪ Coordinate program- and project-level approvals</li> <li>▪ Oversee project and program scope, budget, and resources</li> </ul>	<ul style="list-style-type: none"> <li>▪ Resource Selection</li> <li>▪ Scope Criteria</li> <li>▪ Schedule and project Timeline</li> <li>▪ Risk Mitigation</li> </ul>

**Exhibit 7: Project Sponsor Responsibilities**



The official authorization for the project is granted upon sign-off of the AGCSS Project Charter.

The Project Sponsor accepts the Project Charter for the AGCSS Project with his/her dated signature below in **Exhibit 8: Project Charter Approval**.

---

**FLORIDA DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES**  
**AGCSS PROJECT CHARTER ACCEPTANCE**

---

**Approved**

<b>Name:</b>		<b>Date:</b>	
<b>Title:</b>	Project Sponsor		
<b>Signature:</b>			

---

**Exhibit 8: Project Charter Approval**



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# **Agriculture and Consumer Services System (AgCSS) PROJECT MANAGEMENT PLAN**

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## Florida Department of Agriculture and Consumer Services (FDACS) Office of Agriculture Technology Services (OATS)

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*Revision History*

Date	Author	Version	Change Reference
3/28/2016	FDACS PPMO	200	Updates
5/26/2016	FDACS PPMO	200	Update TOC
7/18/2016	FDACS PPMO	300	Multiple updates
6/7/2017	Charles Coldwell, Rob Bright	301	Multiple Updates; Updated Cost Management Section
6/9/2017	Charles Coldwell	400	Baseline established
6/16/2017	Charles Coldwell	401	Rebranding Project Name updates
8/8/2017	David Butter	402	DDI Updates for D1_PMP Deliverable Submission
8/21/2017	David Butter	403	Updates for State Comments
8/25/2017	Charles Coldwell	500	Approved, Baseline established

## 1 Introduction

### 1.1 Project Management Plan

The Project Management Plan (PMP) describes the Objectives, Scope, Project Management Approach, Key Deliverables, Assumptions, Governance Structure and framework for Risk Management associated with the project. This document has been tailored for this project from “A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fifth Edition” published by the Project Management Institute (PMI.)

All members of the FDACS AgCSS Project (Project) – FDACS team members and vendors – involved with delivering the AgCSS solution will use this document for guidance on project procedures.

While some pieces of the overall plan are incorporated into this PMP, others are stand-alone components. Stand-alone components include:

- Project Charter
- Implementation Plan
- Master Project Schedule
- On-boarding Plan
- Organizational Change Management Communication Plan
- Organizational Change Readiness Plan
- Workforce Training and Transition Plan
- Data Conversion Assessment and Migration Plan
- Interface Assessment and Implementation Plan

This document will be distributed to all FDACS AgCSS Project staff, involved vendors, and any other personnel as required. It will be stored on the AgCSS Project SharePoint site as defined by the Documents Management Plan. At a minimum, this document will be reviewed at the start of each new Release Cycle. Notifications of changes to this document will be circulated per the project management process.

### 1.2 Background

The department has evaluated the utilization of an AgCSS to standardize regulation and licensing across all of the department’s divisions and offices that directly manage regulatory programs. The regulatory application portfolio currently contains more than 60 applications, making standardization problematic. An implementation strategy has been developed to achieve the goals of enterprise regulatory management while minimizing risks and costs.

The initial implementation will involve two divisions where the AgCSS will yield the greatest benefits. In the first year, the Division of Licensing implementation will subsume the Concealed Weapons Intake System, Licensing Reflections System, Imaging Business and Process Management, and Web-based Fast Track System into an enterprise solution. Subsequently, the implementation for the Division of Administration will supplement the Department Clerk, Revenue Online Collection, EGov, and Enterprise E – Commerce System components that directly support the Division of Licensing, as well as additional components of the Revenue Receipt Accounting System (REV). The Division of Licensing Call Center support will also be modernized as part of the implementation. The Division of Agriculture Law will utilize the AgCSS Release 1 system for case research and other verification activities.

### 1.3 Business Need and Objectives

#### Vision

To implement an enterprise department regulatory lifecycle management system that empowers customers, supports efficient processes, and positions the department to be responsive to changing operational demands.

#### Goals

- Enhance the customer experience in all interactions with the department.
- Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques.
- Enable an enterprise customer service operation.
- Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues.

### 1.4 Scope Statement

To procure and create an improved and standardized enterprise regulatory system (with a revenue component) to replace the Division of Licensing's (DoL) current licensing/regulatory applications, and supplement the Division of Administration's (DoA) applications that directly support the DoL.

#### 1.4.1 In Scope

All appropriated, budgeted, and approved tasks for FY2017/2018 necessary to procure and create an improved and standardized enterprise regulatory system (with a revenue component) to replace the Division of Licensing's (DoL) current licensing/regulatory applications, and supplement the Division of Administration's (DoA) applications that directly support the DoL.



### 1.4.2 Out of Scope

The following items are out of Scope for FY2017/2018:

- Any non-budgeted tasks of which may accrue costs to the project during FY2017/2018.
- Implementation of AgCSS to any Division other than DoL and DoA.

### 1.4.3 Understanding of The Business Situation Facing FDACS

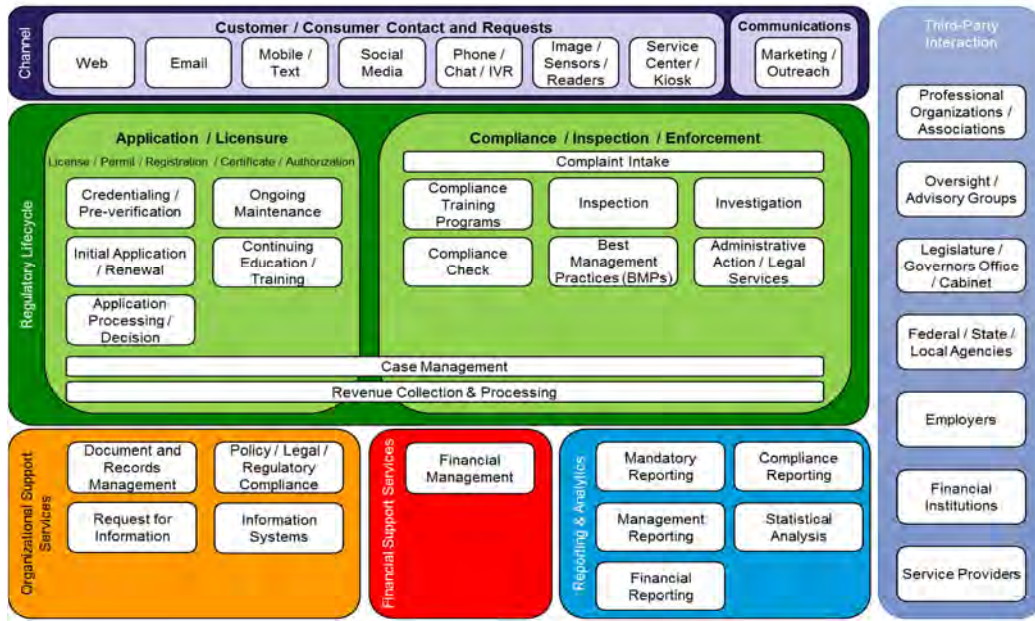
The divisions and offices within the department are responsible for a broad range of services and regulatory activities. Included in these services are:

- Systems that support administrative regulatory requirements for revenue, invoices, and fees;
- Environmental services regulatory requirements related to feed, seed, fertilizer, and pest control licensing, use and compliance; and,
- Consumer services regulatory requirements for licensing in more than a dozen different industries.

FDACS needs to streamline its regulatory processes across all of its divisions and offices with the implementation of a regulatory system with a revenue component in order to begin to see improvements in their customer service, higher levels of data and process standardization, and ability to recognize and respond to opportunities and issues.

The primary regulatory functions of the department are application, licensure, compliance, inspection, and enforcement. These regulatory functions and their supplementary key practices and procedures are listed in the exhibit below.

AGCSS Enterprise Functional Capabilities Model (EFCM) 2.0



**Exhibit 1: FDACS' Regulatory Lifecycle**

Increased flexibility is crucial for the department, as they require the ability to make constant operational adjustments to react to changing political, domestic, international, commodity, weather, and emergency-related stimuli.

Utilizing various technologies, design methodologies, and interfaces, many current FDACS regulatory applications have their own specific configurations, sets of requirements, and software renewal dates. This lack of system uniformity also exists within other regulatory applications throughout the department, where there are multiple databases unique to specific Divisions operating without centralized, enterprise oversight within the department. This creates a challenging situation for divisions to communicate consistent regulatory information with one another given the various independent database environments that maintain duplicated and redundant data. Standardized data and processes would help the department to not only overcome this communication challenge, but also better service its internal and external customers.

The proliferation of this redundant data and operational processes exposes the department's divisions and offices to higher operational risk, which in turn increases the department's administration and support costs, while decreasing its operational efficiency and effectiveness. Furthermore, as a result of the outdated and unsupported division-specific software and technology, the existing applications are inflexible and do not meet the changing demands of both internal and external stakeholders.

---

#### **1.4.4 AgCSS Implementation Approach**

Breaking down the implementation into releases provides significant risk mitigation. The following implementation plan utilizes the “Crawl, Walk, Run” release approach. This approach starts by implementing Licensing and Administration to establish an enterprise foundation and then bringing on the remaining divisions in subsequent phases.

##### **1.4.4.1 Release 1 (Crawl) / 22 Months**

The focus during Release 1 (Crawl) is validation and refinement of the implementation tasks and deliverables. The effort will begin with the Division of Licensing and Division of Administration transformation and move into sustainment 22 months after start up. Lessons learned from the first release will be used to plan delivery of a larger scale roll out to two or three divisions in Release 2 (Walk).

##### **1.4.4.2 Release 2 (Walk) / 12 Months**

The second release will implement AgCSS functionality with a couple of “early adopters” that are representative of other divisions. The scheduled duration of Release 2 is twelve months. In the Walk release, the focus will be on refining and optimizing the project schedule (e.g. Load balancing of government and contractor resources). This is done to validate the scalability of the implementation tasks from the first release. FDACS will work with the Systems Integrator (SI) to build team resources through a “train the trainer/facilitate the facilitator” approach.

##### **1.4.4.3 Release 3 (Run) / 11 months**

Refinements from the Walk release are then incorporated and used to implement the full-scale implementation for the remaining divisions in Release 3 (Run). Release 3 is scheduled to overlap Release 2, beginning six months into Release 2. This release will implement the remaining divisions and applications as well as interfaces. There is a three-month overlap with release 2.

#### **1.4.5 Tentative Release schedule**

While it has not been determined, which divisions will be included in each release, the following table provides information concerning the divisions included in the enterprise AgCSS solution:

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Licensing	Release 1	Early adopter because of architectural significance of business process.	<ul style="list-style-type: none"> <li>▪ Concealed Weapon Intake System (CWIS)</li> <li>▪ Concealed Weapon Renewal Express System (CWREX)</li> <li>▪ Licensing Reflections System</li> <li>▪ Imaging Business and Process Management (EDMS)</li> <li>▪ Web-based Fast Track System</li> </ul>
Administration	Release 1	Interfaces to the State of Florida financial system The new system will interface to the department's existing financial system until enough regulatory types/applications are implemented in the new system.	<ul style="list-style-type: none"> <li>▪ Department Clerk</li> <li>▪ Revenue Online Collection (ROC)</li> <li>▪ Enterprise E-Commerce System (EGC)</li> <li>▪ Revenue Receipts Accounting System (REV)</li> </ul>
Agricultural Environmental Services	TBD	Early adopter because of existing enterprise perspective and organizational readiness.	<ul style="list-style-type: none"> <li>▪ AES Laboratory Information Management System (AES-LIMS)</li> <li>▪ Agricultural Environmental Services Suntrack System</li> <li>▪ DOI Database</li> <li>▪ Aircraft Registration Database</li> <li>▪ Compliance DB30 Database</li> <li>▪ EIS - AES Image Applications</li> <li>▪ Electronic Fumigation Notice Submissions</li> <li>▪ Pesticide Applicator Continuing Education Units</li> <li>▪ Registration Tracking System</li> </ul>
Agricultural Law Enforcement	TBD	No special circumstances for early implementation.	<ul style="list-style-type: none"> <li>▪ ACISS Case Management</li> <li>▪ Bill of Lading Scanning System</li> <li>▪ Commerce Transport Imaging System</li> <li>▪ Tag Recognition System</li> </ul>
Agriculture Water Policy	TBD	No special circumstances for early implementation.	<ul style="list-style-type: none"> <li>▪ Best Management Practices Tracking System (BMPTS; voluntary participation)</li> </ul>

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Animal Industry	TBD	No special circumstances for early implementation.	<ul style="list-style-type: none"> <li>▪ Animal Industry Florida Poultry Database</li> <li>▪ Animal Industry Laboratory Information Management System</li> <li>▪ Daily Activity Report</li> <li>▪ Garbage Feeders Database</li> <li>▪ Master Brand Record</li> <li>▪ Master Cervidae Herd Plan/Permits</li> <li>▪ Master Equine Extension</li> </ul>
Aquaculture	TBD	Early adopter because of readiness for enterprise solution.	<ul style="list-style-type: none"> <li>▪ Aquacore Information System</li> <li>▪ Aquaculture Certification Program</li> <li>▪ Aquaculture Lease Database</li> <li>▪ Apalachicola Bay Oyster Harvesting License</li> <li>▪ Shellfish Shippers Database</li> </ul>

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Consumer Services	TBD	Extensive functionality and risk may push this back to later release.	<ul style="list-style-type: none"> <li>▪ LIMS—Anti-freeze and Brake fluid</li> <li>▪ Metrology (metered devices)</li> <li>▪ DOCS—Business Opportunities Franchises</li> <li>▪ DOCS—Continuing Education Provider</li> <li>▪ DOCS—Do Not Call List</li> <li>▪ DOCS—Game Promotion</li> <li>▪ DOCS—Health Studios</li> <li>▪ DOCS—Intrastate Movers</li> <li>▪ DOCS—Mediation and Enforcement</li> <li>▪ DOCS (and Access)—Meter Mechanics</li> <li>▪ DOCS—Motor Vehicle Repair</li> <li>▪ DOCS—Pawnshops</li> <li>▪ DOCS—Petroleum (wholesale and retail)</li> <li>▪ DOCS—Professional Surveyors and Mappers</li> <li>▪ DOCS—Scales and Other Measuring Devices (inspection results; excluding petroleum; including wholesale and retail)</li> <li>▪ DOCS—Sellers of Travel</li> <li>▪ DOCS—Solicitation of Contributions</li> <li>▪ DOCS—Telemarketing</li> <li>▪ DOCS—Weights and Measure Permitting System (permitting)</li> <li>▪ Fair Ride Database</li> <li>▪ LP Gas</li> </ul>
Florida Forest Service	TBD	No special circumstances for early implementation. Primary focus on interfacing to enterprise data model.	<ul style="list-style-type: none"> <li>▪ Florida Fire Management Information System</li> </ul>
Food Safety	TBD	Pushed back to later release because of existing custom solution project.	<ul style="list-style-type: none"> <li>▪ Document Control and Training Tracking</li> <li>▪ Food Inspection Management System (FIMS)</li> <li>▪ Food Safety Laboratory Information Management (FSLIMS)</li> <li>▪ Regulatory Information Management System (Dairy)</li> </ul>

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Fruit and Vegetables	TBD	Part of earlier release in order to harvest lessons learned from previous ERP implementation.	<ul style="list-style-type: none"> <li>▪ Mobile Inspection Program (Tomatoes)</li> </ul>
		Remaining applications are implemented in later release. No special circumstances for early implementation.	<ul style="list-style-type: none"> <li>▪ Brix Acid Unit System</li> <li>▪ CitraNet</li> <li>▪ EQIP</li> <li>▪ FreshNet</li> <li>▪ Fruit and Vegetable System–Processors, Growers, Haulers</li> <li>▪ Fruit and Vegetable System–Citrus Dealers</li> <li>▪ Fruit and Vegetables System–Growers, handlers, packers, shippers</li> <li>▪ Fruit and Vegetables–Growers, handlers, packers, shippers (Accounts receivable)</li> <li>▪ Fruit and Vegetables–Growers, handlers, packers, shippers (Fiscal)</li> <li>▪ Fruit and Vegetables–Growers, handlers, packers, shippers (Inspection and personnel)</li> <li>▪ Fruit and Vegetables–Growers, handlers, packers, shippers of fresh citrus (Statistics)</li> <li>▪ Shell Stock, MicroMation (Peanuts)</li> <li>▪</li> </ul>
Marketing and Development	TBD	Manual low risk process with existing “to-be” documentation. Also, public facing. Quick win.	<ul style="list-style-type: none"> <li>▪ License and Bond System</li> </ul>

DIVISION	SCHEDULE FOR RELEASE	RELEASE CONSIDERATIONS	APPLICATION NAMES
Plant Industry	TBD	Initially, Plant Industry would be pulled into the implementation to provide input on “master data” definition and to implement a high business value “emergency response” “inspection/enforcement” application needed by the enterprise.	<ul style="list-style-type: none"> <li>▪ Pest Incidence Control System (DPI Emergency Program Management System only)</li> </ul>
		Remaining Plant Industry applications may fall into later release. No special circumstances for early implementation.	<ul style="list-style-type: none"> <li>▪ Citrus Budwood Registration system</li> <li>▪ Citrus Germplasm Introduction Program system</li> <li>▪ Plant Inspection Trust Revenue system</li> <li>▪ Laboratory Identification Sample Tracking system</li> </ul>

**Exhibit 2: Release Schedule**

**1.5 Organizational Change Management**

One of the most critical success factors for this project will be the ability of FDACS to change to an enterprise perspective from the current siloed application perspective. An Organizational Change Management (OCM) and Workforce Transition Strategy are provided in the AgCSS OCM Plan and Workforce Transition Plan (WFT) documents located in AgCSS SharePoint project library. The plans define the steps needed to ensure effective department stakeholder communication and transformation as well as the change in the way that FDACS staff will perform their business functions utilizing the new enterprise AgCSS system.

**1.6 Critical Success Factors**

The FDACS Project Portfolio Management Office (PPMO) has articulated the following critical success factors vital to the success of the project, such that, in their absence the project will fail or generate critically deficient outcomes.

- Executive management will be engaged throughout the implementation. Executives will be kept abreast of the overall project scope, budget, milestones and key deliverables through monthly meetings. Key executives have created a vision for success, approved necessary resources, and will provide motivation to the project management team. Through the Governance Process Executive Management is readily available to make timely critical project decisions.



- The PPMO has established an enterprise AgCSS Project Management Office (PMO) over the life of the AgCSS Project to ensure standardization of project management processes and visibility of project performance across project teams, external stakeholders, as well as project and department governance committees.
- FDACS has developed a procurement strategy and will conduct the AgCSS project solicitations in a manner that maximizes opportunities to achieve system integration and flexibility as well as provide the best business value to the department.
- The PPMO has assembled and actively promotes a cohesive, collaborative, and harmonious team that is collectively focused on program goals and objectives.
- FDACS has developed and will implement an Organizational Change Management (OCM) and Workforce Transition (WFT) strategy and plan to ensure appropriate and timely stakeholder communications as well as a seamless organizational and workforce transition to the new AgCSS.
- FDACS has established a governance structure that provides adequate oversight, management, and control to keep the Project on target without introducing unnecessary layers of administration.
- FDACS PPMO has established a strong and robust governance structure to manage requirements and system customizations to ensure project scope is maintained and stakeholder expectations and needs are met without costly impacts to schedule, quality, or budget.

## 2 Roles and Responsibilities

AgCSS project management is orchestrated by a collaboration of three project management offices:

- FDACS PPMO – refers to the FDACS Program and Project Management Office. Provides oversight and governance to the Department’s project portfolio.
- AgCSS PMO – refers to the dedicated FDACS AgCSS Project Management Office. The AgCSS PMO provides numerous planning, monitoring, communications, and governance services for the AgCSS Design, Development and Implementation Project.
- GCOM PMO – refers to the AgCSS design, development and implementation (DDI) vendor, GCOM Software. GCOM is responsible for the design, development and implementation of the AgCSS over the three planned major releases. GCOM also provides application maintenance and operations services during the DDI period of performance and as defined by the scope of work. The GCOM PMO provides planning, status reporting, communications, and coordination focused on the GCOM tasks and activities; as well as to support to the AgCSS PMO program level reporting.

The project management offices collaborate to provide the methods, tools, technique for use by the greater project team in the design, development and implementation of the AgCSS. The FDACS PPMO, AgCSS PMO, and the GCOM PMO Project Managers and Work Stream Leads are responsible for ensuring adherence to the AgCSS PMP.

The table below depicts the roles and responsibilities required for the execution of the PMP and delivery of the AgCSS. Roles and responsibilities of each subsidiary plan are identified in the respective plans by AgCSS primary team (FDACS, AgCSS PMO or GCOM). Any new staffing requirements resulting from the roles and responsibilities identified in each plan will be updated and approved based on the Deliverable Management process described in this document. Roles as described in this table are joint roles.

ROLE	RESPONSIBILITIES
Project Management Team	<ul style="list-style-type: none"> <li>▪ Roles and Responsibilities Definition</li> <li>▪ Governance and Decision Making</li> <li>▪ Project Management Approach</li> <li>▪ Scope Management Plan</li> <li>▪ Schedule Management Plan</li> <li>▪ Cost Management Plan</li> <li>▪ Quality Management Plan</li> <li>▪ Deliverables Management Plan</li> <li>▪ Project Status Reporting</li> <li>▪ Risk Management Plan</li> <li>▪ Issue/Action Item Management Plan</li> <li>▪ Procurement Management Plan</li> <li>▪ Document and Records Management Plan</li> </ul>
Process Team	<ul style="list-style-type: none"> <li>▪ Business Requirements</li> <li>▪ Future State Processes</li> </ul>

ROLE	RESPONSIBILITIES
People Team	<ul style="list-style-type: none"> <li>▪ Communication</li> <li>▪ Learning and knowledge</li> <li>▪ Value realization</li> <li>▪ Organizational Change Management</li> <li>▪ Human Resources Plan</li> <li>▪ Workforce Transition Plan</li> <li>▪ Project Communications Plan</li> <li>▪ Business Advisory Group</li> <li>▪ Stakeholder Management Plan</li> </ul>
Technology Team	<ul style="list-style-type: none"> <li>▪ <b>Information</b> <ul style="list-style-type: none"> <li>○ Data governance structure definition and implementation (e.g., role of Information Technology Lifecycle (ITLC))</li> <li>○ Data migration</li> <li>○ Business Intelligence requirements definition</li> <li>○ Information security (such as encryption)</li> </ul> </li> <li>▪ <b>Integration</b> <ul style="list-style-type: none"> <li>○ Integrated solution design</li> <li>○ Configuration management</li> <li>○ Test management</li> <li>○ Cutover management</li> </ul> </li> <li>▪ <b>Development</b> <ul style="list-style-type: none"> <li>○ Development planning and governance</li> <li>○ Development specifications</li> <li>○ Development object coding and unit testing</li> <li>○ Development quality assurance</li> </ul> </li> <li>▪ <b>Infrastructure</b> <ul style="list-style-type: none"> <li>○ Enterprise system technical architecture design</li> <li>○ Enterprise system security authorization design</li> <li>○ Enterprise system administration</li> </ul> </li> </ul>

**Exhibit 3: PMP Execution Roles and Responsibilities**

## 3 Project Team Governance

### 3.1 Governance and Decision-Making

This section articulates the project-governing framework and the roles and responsibilities of the key governing bodies. It describes the key stakeholder groups for the Project and defines the decision-making levels and appropriate escalation paths.

#### 3.1.1 Governance and Escalation Model

Governance is the process and structure used to exercise overall control and set the direction for a program or project. While providing the necessary internal controls, it reassures internal and external stakeholders that the program and project resources are being allocated and expended in accordance with established organizational and regulatory guidelines. The governance structure links process, resources, business strategies and objectives.

Project governance includes the activities and associated roles and responsibilities required to provide leadership, strategic direction, control, and accountability. In contrast, project management is concerned with administration and delivery through planning, execution, monitoring and reporting. While the two areas are related, they are distinctly different functions.

Exhibit 4: AgCSS Project Governance Structure depicts the governance structure for the AgCSS Release 1 Project. This structure utilizes a multi-level approach, with the goal of pushing decision-making to the lowest level possible.

**Level 4**, the Governance structure, is headed by an IT Governance Team. This team is responsible for department-wide decisions and governance. GCOM maintains a non-voting role and ability to participate in AgCSS Project Level 4 Escalation meetings and discussions.

**Level 3** consists of the Executive Sponsor, with support from a Business Advisory Group. The Sponsor is also supported by an independent verification and validation (IV&V) function to ensure there is visibility into the health of project processes and associated project operations. GCOM maintains a non-voting role and ability to participate in AgCSS Project Level 3 Escalation meetings and discussions.

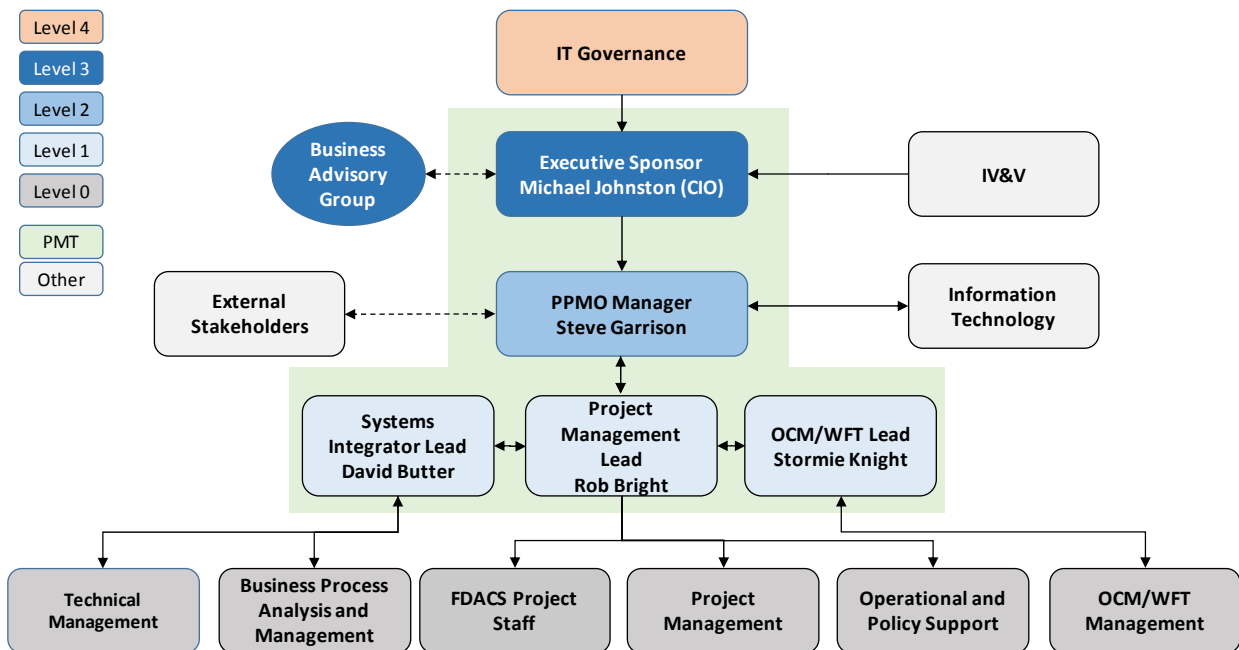
**Level 2** is based in the PPMO, with the PPMO Manager serving as the escalation point. The PPMO Manager and his team are the point of entry and communication with Information Technology and External Stakeholders and any needed discussions with GCOM Project or Executive Leadership.

**Level 1** is at the Project Level and consists of the Project Managers as they interact with the work stream leads for the individual initiatives making up the AgCSS Project to address issues, actions, risks, opportunities, and decisions that cannot be managed by the work stream project teams. For the purposes of the AgCSS Release 1 Project, this level consists of the FDACS AgCSS Project Manager and the GCOM Project Manager.

**Level 0** consists of the work stream leads for the Systems Integrator and FDACS, along with their respective project teams. This is the level at which risks, issues and opportunities are typically identified and often resolved prior to raising them to Project Management.

This governance structure will be enhanced as the Project Management Plan and associated processes are developed during Release 1 of the AgCSS Project.

The governance structure for the AgCSS Project consists of the following entities:



**Exhibit 4: AgCSS Project Governance Structure**

As depicted above, the Project Management Team (PMT) consists of the FDACS Executive Sponsor, the FDACS PPMO Manager, the FDACS AgCSS Project Management Lead, the GCOM Project Manager, the OCM/WFT Lead and the other Project Work Stream Leads. This group serves as the primary team responsible for operation and execution of the Project, and for resolution of risks, issues, actions items, decisions, and other related project management processes with the intent of addressing items at the appropriate level.

### 3.1.2 Governance Structure Roles and Responsibilities

The table below describes the roles and responsibilities for each entity in the AgCSS Project Governance Structure Exhibit 4 above.

ROLE	RESPONSIBILITY	ASSIGNED STAFF
IT Governance Team	<ul style="list-style-type: none"> <li>▪ Provides executive oversight to the project</li> <li>▪ Establishes and supports the project vision and strategic direction</li> <li>▪ Resolves escalated issues</li> <li>▪ Provides timely final decision on escalated items</li> </ul>	<ul style="list-style-type: none"> <li>▪ Chief of Staff</li> <li>▪ Deputy Commissioners</li> <li>▪ Office of Policy and Budget</li> <li>▪ Legislative Affairs Director</li> <li>▪ Inspector General</li> <li>▪ GCOM Project Director<sup>1</sup></li> </ul> <p><sup>1</sup>GCOM Project Director attends as non-voting member at the direction the PPMO Manager</p>
Executive Sponsor	<ul style="list-style-type: none"> <li>▪ Serves as liaison to the department for Agency for State Technology (AST)</li> <li>▪ Serves as liaison to the Legislature (as needed)</li> <li>▪ Has programmatic decision-making authority</li> <li>▪ Champions the project</li> <li>▪ Has programmatic responsibility for successful development and implementation of the Project</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS Chief Information Officer</li> </ul>
GCOM Executive Sponsor	<ul style="list-style-type: none"> <li>▪ Serves as liaison to the IT Governance Team, Executive Sponsor and the GCOM Delivery Team</li> <li>▪ Has GCOM executive level responsibility for the successful development and implementation of the Project.</li> <li>▪ Provides resources to the GCOM Team.</li> </ul>	<ul style="list-style-type: none"> <li>▪ GCOM Project Director</li> </ul>

ROLE	RESPONSIBILITY	ASSIGNED STAFF
PPMO Manager	<ul style="list-style-type: none"> <li>▪ Has IT decision-making authority</li> <li>▪ Coordinates/Identifies business resources</li> <li>▪ Controls Project budget</li> <li>▪ Provides business resources for project success</li> <li>▪ Provides IT resources for project success</li> <li>▪ Has responsibility for successful development and implementation of the Project</li> <li>▪ Oversees the development and implementation of the Project</li> <li>▪ Oversees the Project Management Office for the Project</li> <li>▪ Liaises with department (e.g., Information Technology, Business)</li> <li>▪ Liaises with Project Business Sponsor for business resources and day-to-day activities</li> <li>▪ Liaises with the Legislature as needed</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS PPMO Manager</li> </ul>
AgCSS Contract Manager(s)	<ul style="list-style-type: none"> <li>▪ Responsible for vendor contract management of one or more vendors for the AgCSS Project</li> <li>▪ Develops and routes budget and contract amendments related to the Fiscal Agent or other contractors</li> <li>▪ Follows the processes and procedures described for cost management</li> <li>▪ Reviews the WBS regularly and ensures that no cost changes have occurred without following the change control process</li> <li>▪ Coordinates with the department Contract Management Office and Department of Financial Services to facilitate the payment of the Vendor invoice in compliance with Florida State Statutes</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS AgCSS Contract Manager</li> </ul>

ROLE	RESPONSIBILITY	ASSIGNED STAFF
IV&V Manager	<ul style="list-style-type: none"> <li>▪ Monitors project management processes and provides feedback on any deficiencies noted</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Provides reports to and meets with the Legislature as needed</li> <li>▪ Presents to Executive Management team on IV&amp;V activities</li> <li>▪ Verifies that the system is developed in accordance with validated requirements and design specifications</li> <li>▪ Validates that the system performs its functions satisfactorily</li> </ul>	<ul style="list-style-type: none"> <li>▪ IV&amp;V Vendor</li> </ul>
FDACS AgCSS Project Management Lead	<ul style="list-style-type: none"> <li>▪ Responsible for day-to-day project oversight</li> <li>▪ Provides overall guidance and direction to the Systems Integrator</li> <li>▪ Coordinates with the PPMO Manager for resources</li> <li>▪ Works with Systems Integrator Project Manager to ensure stakeholder needs are met</li> <li>▪ Has daily decision-making authority</li> <li>▪ Oversees and manages project plan</li> <li>▪ Facilitates the Business Advisory Group</li> <li>▪ Coordinates project resources, budgets and contract management</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Responsible for project management areas including scope, risk, quality and change control</li> <li>▪ Coordinates project status communications</li> </ul>	<ul style="list-style-type: none"> <li>▪ FDACS AgCSS Project Manager</li> </ul>



ROLE	RESPONSIBILITY	ASSIGNED STAFF
GCOM Project Manager	<ul style="list-style-type: none"> <li>▪ Responsible for day to day DDI service delivery and engagement management.</li> <li>▪ Coordinates/Identifies DDI resources</li> <li>▪ Responsible for DDI Schedule Plan and updates with AgCSS PMO</li> <li>▪ Provides GCOM resources for project success</li> <li>▪ Has responsibility for successful development and implementation of the Project</li> <li>▪ Oversees the GCOM Project Management Office for the Project</li> <li>▪ Liaises with department (e.g., Information Technology, Business)</li> <li>▪ Liaises with FDACS PPMO Manager and AgCSS PMO for business resources and day-to-day activities</li> <li>▪ Reports to GCOM Project Director as needed</li> </ul>	<ul style="list-style-type: none"> <li>▪ GCOM Senior Project Manager</li> </ul>
Other Project Management Leads	<ul style="list-style-type: none"> <li>▪ Responsible for day-to-day oversight of individual Teams</li> <li>▪ Has daily decision-making authority</li> <li>▪ Oversees and manages individual project plan</li> <li>▪ Coordinates individual project resources,</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Responsible for project management areas including scope, risk, quality and change control</li> <li>▪ Coordinates project status communications to FDACS AgCSS PMO</li> </ul>	<ul style="list-style-type: none"> <li>▪ Other Project Managers</li> </ul>
Business Advisory Group	<ul style="list-style-type: none"> <li>▪ Responsible for input on functional requirements</li> <li>▪ Participates in project user group meetings and sessions</li> <li>▪ Provides input on project activities</li> <li>▪ Reviews and comments on project documents and deliverables</li> <li>▪ Disseminates project information and updates to local internal/external stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▪ Bureau Chiefs – Licensing and Administration</li> </ul>
Project Teams	<ul style="list-style-type: none"> <li>▪ Identifies and communicates project risks, issues, action items, decisions</li> <li>▪ Creates deliverables</li> <li>▪ Participates in risk/issue response plans</li> </ul>	<ul style="list-style-type: none"> <li>▪ Team Resources and Leads</li> </ul>

ROLE	RESPONSIBILITY	ASSIGNED STAFF
External Stakeholders	<ul style="list-style-type: none"> <li>▪ Shares input with the Project Management Team on system and issues</li> <li>▪ May be involved in Executive oversight</li> <li>▪ Receives communication from the PMT</li> <li>▪ Affected by the Project</li> </ul>	<ul style="list-style-type: none"> <li>▪ Constituents</li> <li>▪ Legislature</li> <li>▪ Agency for State Technology</li> <li>▪ Florida Department of Law Enforcement</li> </ul>
Information Technology	<ul style="list-style-type: none"> <li>▪ Responsible for technical resources requested by PMT</li> <li>▪ Impacted by the Project</li> <li>▪ Receives communication from the PMT</li> <li>▪ May be involved in risk response planning</li> <li>▪ Sets technical and security requirements/standards</li> </ul>	<ul style="list-style-type: none"> <li>▪ Chief – Agriculture Management Information Systems</li> </ul>
DDI Technical Lead	<ul style="list-style-type: none"> <li>▪ Provides technical subject matter expertise and support</li> <li>▪ Sets technical and security requirements/standards</li> <li>▪ Receives communication from the PMT</li> <li>▪ May be involved in risk response planning</li> <li>▪ Creates deliverables</li> <li>▪ Identifies and communicates project risks, issues, action items, decisions</li> </ul>	<ul style="list-style-type: none"> <li>▪ DDI Technical Lead</li> </ul>
DoL Technical Lead	<ul style="list-style-type: none"> <li>▪ Provides technical subject matter expertise and support</li> <li>▪ Sets technical and security requirements/standards</li> <li>▪ Receives communication from the PMT</li> <li>▪ May be involved in risk response planning Reviews and provides feedback on project deliverables</li> <li>▪ Identifies and communicates project risks, issues, action items, decisions</li> </ul>	<ul style="list-style-type: none"> <li>▪ DoL Technical Lead</li> </ul>
DoA Technical Lead	<ul style="list-style-type: none"> <li>▪ Provides technical subject matter expertise and support</li> <li>▪ Sets technical and security requirements/standards</li> <li>▪ Receives communication from the PMT</li> <li>▪ May be involved in risk response planning</li> <li>▪ Reviews and provides feedback on project deliverables</li> <li>▪ Identifies and communicates project risks, issues, action items, decisions</li> </ul>	<ul style="list-style-type: none"> <li>▪ DoA Technical Lead</li> </ul>

## Exhibit 5: AgCSS Project Governance – Roles and Responsibilities

### 3.1.3 Escalation Path

A well-defined escalation path is essential for effective program and project governance and project execution, as it defines a process for addressing risks, issues, scope changes, or programmatic conflicts that may arise during the course of the Project. This is controlled through risk, issue, decision and scope management.

Under Project Governance, Risk Management addresses risks (i.e., any potential events or unresolved actions that may impact the success of the project). The Risk Response consists of a plan or set of actions established to prevent a risk from occurring or to minimize the negative consequences of the risk.

As part of Issue Management, Project Governance will address issues (i.e., unresolved risks or incomplete actions impacting the project schedule, budget, or quality). For purposes of managing issues, action refers to any activity to affect the outcome or reach a decision on how to execute any component of the project.

Under Project Governance, Scope Management monitors and manages change events, which include the modification of agreed approach, schedule, or outcome of any project milestone, work package, or activity. As part of Scope Management, decisions are made as part of resolution or determination on approach.

The structure of the Escalation Path is part of risk, issue, decision and scope management and is arranged in levels that align with the Project Governance Structure for escalation and decision-making purposes, with Level 4 being the highest escalation or decision point for governance-related issues. The escalation path will flow along Levels 0 through 4 as described below if resolution is required to manage a conflict arising during the course of the project. The levels of escalation and associated timeframes for escalation are as follows:

- **Level 0:** Items addressed within the project team.
- **Level 1:** If the project team cannot resolve the conflict within two (2) working days, it should be escalated to the AgCSS Project Managers (FDACS and GCOM) to resolve the issue.
- **Level 2:** If the conflict still exists three (3) working days after being escalated to Level 1, the AgCSS Project Managers (FDACS and vendors) should escalate to the PPMO Manager to determine an acceptable resolution.
- **Level 3:** If the conflict still exists five (5) working days after being escalated to Level 2, the PPMO manager(s) and/or vendor's Project Executive should escalate to the FDACS Executive Sponsor to resolve the issue in the next scheduled Status meeting – unless the circumstances require a quicker resolution.
- **Level 4:** If the conflict still exists five (5) working days after being escalated to Executive Sponsor in Level 3 status meeting, the FDACS Executive Sponsor will escalate to the IT Governance Team to resolve the issue in the next scheduled Governance Status meeting – unless the circumstances require a timelier resolution.

The need for escalation can arise in the form of a risk, issue, decision or scope change. The timeframes above are guidelines and may be adjusted by the PPMO and AgCSS PMO team based on the impact and/or likelihood of the risk, issue or scope changes.

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## 4 Project and Release Lifecycle

FDACS and the GCOM have agreed to utilize the GCOM Execution Method Hybrid Agile Methodology (GEM) to deliver the AgCSS. GEM provides the following two integrated layers for managing the design, development and implementation projects:

- Project Management
- Software Release Management

The management lifecycle for each layer is described in the sections below.

### 4.1 Project Management Life Cycle Overview

The following describes in detail each of the five project management processes – *Initiation, Planning, Execution, Monitoring & Controlling and Closing* – as they relate to the AgCSS Project.

#### 4.1.1 Initiation

The PPMO team has developed a project management structure and supporting processes that best fit the goals of the project and aligns with the Department's culture and practices.

The AgCSS PMO and PPMO have developed the AgCSS Project Charter, which was approved by the AgCSS Executive Project Sponsor. The Project Charter authorizes the project and provides a statement of the project's intended scope, goals, objectives, outcomes, and participants. It provides a preliminary delineation of roles and responsibilities, outlines the project objectives, identifies the main stakeholders, and defines the authority of the project manager.

#### 4.1.2 Planning

The Project Management Plan (PMP) and supporting Management Plans add the detail necessary for day-to-day task execution and management efficiency. The AgCSS PMP was completed by the AgCSS PMO and PPMO with input and collaboration from key stakeholders. This team approach helps to ensure a further alignment to the project objectives and buy-in from management and stakeholders. The Project Management Plan has been updated by the GCOM as part of the Release 1 Planning Phase.

The following summarizes the detailed activities of Project Planning that will assist in the effective management of the project:

- Project Management Plan & Supporting Management Plans (e.g., Communications Plan)
- Schedule and Resource Planning
- Scope Planning
- Stakeholder Analysis

- Project Governance

### 4.1.3 Project Execution

Using the approved PMP, the PMO Team will begin execution and management of the project. The Project Execution process and the Project Monitoring and Control process work together iteratively and perpetually until project closure. The execution process deals with implementing and managing the project based on the PMP.

Successful project management through execution is a function of a good plan that has been thoroughly developed and vetted and the time-tested experience of the team on similar projects. The experience and expert judgment of the team, combined with effective Project Governance, will help ensure the project stays on track and delivers value to the organization.

Effective communication is a key critical success factor for any project. Upward communications from the AgCSS PMO to key stakeholders and the governance organization are essential for providing up-to-date and accurate project status reports, providing accurate and best-judgment judgment risk and issue assessments, and actively managing expectations. Effective downward communications to the team are essential in building a teamwork culture, communicating expectations and supporting personnel development.

### 4.1.4 Monitoring and Control

Project Monitoring and Control includes managing, tracking and reporting all elements built into the PMP. This process ensures the appropriate consumption of resources (people, costs and materials) in accordance with the plan. The Project Monitoring and Control processes are performed throughout the project until the project is complete and ready to close. Elements of Monitoring and Control include:

- Schedule Management
- Variance Analysis
- Schedule Control
- Scope Change Control
- Cost Control
- Resource Management
- Risk Monitoring and Control
- Integrated Change Control
- Status Reporting

### 4.1.5 Closing

Project Closing includes several important activities to bring the project to an orderly conclusion. This includes reviewing the key deliverables, gaining stakeholder agreement that planned objectives have been met, archiving project documentation and artifacts and conducting a review of the lessons learned (i.e., any useful information or experience gained through the course of the project that can be applied to a later phase or project activity).

Project Closing includes an overall assessment of project performance to evaluate the success of the Project against original objectives and scope including approved change requests. This also includes an assessment of team member performance and the development observed during the project. Finally, since the Project involves change to the organization including business process, technology and people, this final assessment will identify any outstanding issues to ensure total organizational transition to the change.

### 4.2 Release Lifecycle Overview

The implementation timeline is structured around iterative project releases. Each release implements regulatory capabilities for a specified set of business areas (e.g., the first release will involve the Division of Licensing and the Division of Administration). Each release follows the same basic implementation lifecycle (Plan and Assess, Design, Develop, Test, Implement and Post-Implementation). Each of these release phases is broken down into domains, which define the key activities and project team responsibilities.

There are five implementation phases performed for each release lifecycle:

- *Plan and Assess* – planning and preparation to ease design ramp-up
- *Design* – validate requirements, identify gaps, design processes, and solidify scope
- *Develop* – build/configure the designed solution
- *Test* – test the designed solution
- *Implementation* – end-user education, user acceptance, and migration activities
- *Post-Implementation* – transition from project mode into a live, supported production operation

The tasks in these phases are assigned to five basic domains (project teams).

- *Project Management* – address return on sponsor investment for the project
- *People* – facilitate effective and efficient transition to the new business model
- *Process* – address business requirements and benefits
- *Information* – facilitate data strategy, data governance, and migration strategy
- *Technology* – facilitate information quality and integrity, integrate task and solution dependencies across domains and project phases, and deliver objects that address specifications and coding

quality standards and management of appropriate application architecture and technical infrastructure

#### 4.2.1 Plan and Assess

The Plan and Assess Phase will consist of learning new information and developing a common understanding of FDACS dynamic business environment. Additionally, it is anticipated that scope refinement and consequent recalibration will be required once the process tasks are concluded in the Plan and Assess Phase. This will allow for more informed and effective planning of the work effort required to execute the Develop Phase. Any material change affecting scope, critical milestones, and/or resources will be assessed, documented, and agreed upon using the Change Control Process and will be incorporated into the relevant phase-based detailed plans once agreed by both the vendor and FDACS.

The objective of the Plan and Assess Phase is to provide detailed initial project planning and preparation for the implementation of the AgCSS project. It is during this phase that detailed release planning and scoping is conducted, strategies are defined, and resources are on-boarded. The detailed project schedule will define and clarify vendor and FDACS activities, dependencies, responsibilities, estimated effort.

The table below lists examples of activities and responsibilities for the Plan and Assess Phase. At the beginning of each release, the AgCSS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES
Project Management	<ul style="list-style-type: none"> <li>▪ Finalize Project Milestone Plan for upcoming release</li> <li>▪ Confirm baseline scope from the Statement of Work (SOW) for design</li> <li>▪ Finalize extended project team roles and responsibilities</li> <li>▪ Define project management procedures</li> <li>▪ Resource and operationalize governance for project management procedures</li> <li>▪ Confirm Project Tools Strategy</li> <li>▪ Finalize detailed plan for Design Phase</li> <li>▪ Assemble the Project Charter</li> <li>▪ Conduct Project Kickoff</li> <li>▪ Define structures to communicate, manage and escalate issues</li> <li>▪ Risk, mitigation, containment and contingency planning</li> </ul>
People	<ul style="list-style-type: none"> <li>▪ Determine Project Team Training Plan</li> <li>▪ Confirm Organizational Change Strategy</li> <li>▪ Confirm Communication Strategy</li> <li>▪ Confirm End-User Education Strategy including technology requirements</li> <li>▪ Conduct Initial Stakeholder Assessment to confirm Project objectives</li> </ul>
Process	<ul style="list-style-type: none"> <li>▪ Collect and review existing project-related materials</li> </ul>



CATEGORY	ACTIVITIES
Information	<ul style="list-style-type: none"> <li>Confirm Data Security and Privacy Plan</li> <li>Confirm Reporting Strategy</li> <li>Confirm Data Migration Strategy</li> </ul>
Technology	<ul style="list-style-type: none"> <li>Confirm Project Documentation Standards and Templates</li> <li>Confirm Development Standards and Procedures</li> <li>Confirm Configuration Strategy</li> <li>Confirm Testing Strategy</li> <li>Confirm Technical Infrastructure Strategy</li> <li>Define Legacy System Change Strategy</li> <li>Install Enterprise System Sandbox System</li> <li>Conduct Plan and Assess Phase Gate Review</li> </ul>

### Exhibit 6: Plan and Assess Phase Activities and Deliverables

#### 4.2.2 Design

The objective of the Design Phase is to create a detailed description of FDACS’ business requirements, to define the technical requirements to enable those business functions within the AgCSS, and to develop and begin implementing an approach to manage the impacts to the organization. This phase also covers the creation of the system technical design, definition of required development work, and the establishment of a system that is ready for configuration and application development.

The table below includes examples of activities and responsibilities for the Design Phase. At the beginning of each release, the AgCSS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	<ul style="list-style-type: none"> <li>Finalize scope for realization</li> <li>Manage and escalate issues</li> <li>Define Risks, Mitigations, Containment or Contingency Plans as each Issue is identified</li> <li>Finalize detailed Project Plan for Implementation</li> </ul>	<ul style="list-style-type: none"> <li>Finalized Scope document</li> <li>Issue Log</li> <li>Risk Log</li> <li>Develop Phase Project Plan</li> </ul>

CATEGORY	ACTIVITIES	DELIVERABLES
People	<ul style="list-style-type: none"> <li>▪ Conduct Stakeholder Analysis</li> <li>▪ Create Communication Plan</li> <li>▪ Define Organizational Design</li> <li>▪ Develop Value Realization Action Plan</li> <li>▪ Define Knowledge Transfer Monitoring Plan</li> <li>▪ Determine user roles</li> <li>▪ Determine jobs</li> <li>▪ Conduct end-user education needs assessment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Stakeholder Analysis</li> <li>▪ Communication Plan</li> <li>▪ Organizational Change Management Plan and Risk/Impact Assessment</li> <li>▪ Value Realization Action Plan</li> <li>▪ Knowledge Transfer Monitoring Plan</li> <li>▪ User Roles Definition</li> <li>▪ Job Definition Documents</li> <li>▪ End-User Education Needs Assessment</li> </ul>
Process	<ul style="list-style-type: none"> <li>▪ Create Business Process Master List</li> <li>▪ Prepare design workshop materials</li> <li>▪ Conduct design workshops and gather requirements</li> <li>▪ Develop enterprise system organizational structures</li> <li>▪ Design automated and manual controls</li> <li>▪ Identify functionality gaps</li> <li>▪ Define processes</li> <li>▪ Initialize custom development object definitions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Business Process Hierarchy (BPH)</li> <li>▪ Design Workshop Presentation Materials</li> <li>▪ Requirements Traceability Matrix</li> <li>▪ Configuration Rationale Specification for Enterprise System Organizational Structures</li> <li>▪ Business Controls Document</li> <li>▪ Prioritized Gap Analysis</li> <li>▪ Process Definition Documents</li> <li>▪ Custom Development Definition Documents (Initial)</li> </ul>
Information	<ul style="list-style-type: none"> <li>▪ Document master data requirements</li> </ul>	<ul style="list-style-type: none"> <li>▪ Master Data Requirements</li> </ul>
Technology	<ul style="list-style-type: none"> <li>▪ Conduct enterprise system hierarchy workshops</li> <li>▪ Document general settings requirements (number ranges, etc.)</li> <li>▪ Oversee project tools installation and training of project team users</li> <li>▪ Install development environment(s)</li> <li>▪ Perform gap analysis</li> <li>▪ Define disaster recovery and high availability requirements</li> </ul>	<ul style="list-style-type: none"> <li>▪ Hierarchy Workshop Presentation Materials</li> <li>▪ Configuration Rationale; Specification for General Settings, such as Number Ranges</li> <li>▪ Installed Tools Ready for Trained Users</li> <li>▪ Development System</li> <li>▪ Gap Analysis</li> <li>▪ Technical Design Document</li> <li>▪ Design Gate Review Package</li> </ul>

### Exhibit 7: Design Phase Activities and Deliverables

### 4.2.3 Develop

The objectives of the Develop Phase are to build/configure the system, conduct data migrations, and start preparing the organization for the impact of the changes. Building is comprised of configuring the system and creating development objects to address the specifications documented in the Design Phase. In parallel, data conversion cycles are practiced with incremental target increases in volume and accuracy.

At the beginning of each release, the AgCSS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly. The specific plans for most of the key Develop Phase activities are driven from the strategies that are agreed upon in the Design Phase.

The table below lists examples of activities and responsibilities for the Develop Phase.

CATEGORY	ACTIVITIES
Project Management	<ul style="list-style-type: none"> <li>▪ Define short-term production support strategy</li> <li>▪ Manage and escalate issues</li> <li>▪ Define risks, mitigations, containment or contingency plans as issues are identified</li> <li>▪ Finalize detailed project plans for final Preparation Phase</li> </ul>
People	<ul style="list-style-type: none"> <li>▪ Consolidate user roles</li> <li>▪ Develop end-user education content</li> <li>▪ Define post go-live, ongoing education strategy</li> <li>▪ Update Company Policies and Procedures and create a gap analysis</li> <li>▪ Transfer knowledge</li> </ul>
Process	<ul style="list-style-type: none"> <li>▪ Finalize detailed custom development definitions</li> <li>▪ Confirm baseline configuration</li> <li>▪ Confirm final configuration</li> <li>▪ Cleanse and prepare legacy data</li> <li>▪ Unit test custom development functionality</li> <li>▪ Create functional unit test plans</li> <li>▪ Document business process procedures</li> <li>▪ Conduct functional unit tests</li> <li>▪ Design automated and manual controls</li> <li>▪ Create user acceptance test plans</li> </ul>
Information	<ul style="list-style-type: none"> <li>▪ Create Data Migration Plans including data cleansing and data validation oversight</li> <li>▪ Execute dry run data migration including data cleansing and data validation oversight</li> </ul>

CATEGORY	ACTIVITIES
Technology	<ul style="list-style-type: none"> <li>▪ Create custom development Technical Specifications</li> <li>▪ Develop and technically unit test custom development objects</li> <li>▪ Define Authorization Management Procedures and define organizational values and restrictions</li> <li>▪ Create Integration Test Plan</li> <li>▪ Integration test scripting</li> <li>▪ Install quality assurance environment(s)</li> <li>▪ Create Performance Test Plan</li> <li>▪ Conduct Test Readiness Gate Review</li> <li>▪ Install training-related systems including learning management system, training sandbox and document repository</li> <li>▪ Create batch jobs</li> <li>▪ Create Batch Schedule Master</li> <li>▪ Compile the Cutover Plan</li> <li>▪ Conduct systems integration test</li> <li>▪ Install mock cutover environments</li> <li>▪ Deploy site infrastructure</li> <li>▪ Conduct Development Phase gate review</li> </ul>

**Exhibit 8: Develop Phase Activities and Deliverables**

**4.2.4 Test**

The objective of the Test Phase is to evaluate the system’s technical and functional compliance with specified requirements. The SI will be responsible for developing and executing a Test Management Plan appropriate for the solution and testing the system according to the approved Test Management Plan.

Testing comprises the following general types:

- Unit – Self-contained, component-level functional testing of configuration and development
- Integration – Process oriented testing of end-to-end business functions
- User Acceptance – Process-oriented testing of end-to-end business functions performed by client end users
- User Experience – Non-technical testing designed to assess the system’s usability for client end-users
- System – Technical production system readiness testing
- Security – Security access testing, including negative testing
- Regression – testing to uncover new defects that may be generated due to changes or updates to the system

The testing will include the evaluation of the system and system data to ensure the availability and quality of required functionality and information and to detect any system defects.

The following defines the severity level categorization for testing defects.

SEVERITY LEVEL	DESCRIPTION	EXAMPLE
1	System Failure. No further processing is possible	Complete lack of system availability, results, functionality, performance, or usability
2	Unable to proceed with selected functionality or dependents	System unavailable, key component unavailable, or functionality incorrect and workarounds are not available
3	Restricted functional capability; however, processing can continue	Non-critical component unavailable or functionally incorrect and workaround is available
4	Minor cosmetic change	Usability errors where screen or report errors do not materially affect quality and correctness of function, intended use, or results

### Exhibit 9: Defect Severity Levels

Once defects are remediated and re-tested, the test is considered complete when no Severity 1 or 2 defects remain and a disposition plan is in place for Severity 3 and 4 defects.

## 4.2.5 Implementation

The objective of the Implementation Phase is to prepare systems, processes, and people for the rollout and subsequent operationalization of the new system. The implementation will include the activities supporting the Go/No-Go decision around system Go-Live as well as operational readiness preparation such as internal and external communications, and training. The overall purpose of implementation is to successfully move the system to production while ensuring that the department and its stakeholders receive the maximum benefits from the AgCSS Project.

Implementation has been broken into two basic sub-phases: the steps needed to prepare for implementation and the steps needed to perform the implementation (often referred to as Go-Live).

### 4.2.5.1 Implementation - Preparation

The objective of Preparation is to verify readiness for production (Go-Live), including user acceptance, end-user training, site preparation, system project management, and cutover activities. Preparation serves as a last opportunity to address crucial open issues before Go-Live is reached.

The table below lists examples of activities and responsibilities needed to prepare for implementation. At the beginning of each release, the AgCSS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES
Project Management	<ul style="list-style-type: none"> <li>▪ Manage and escalate issues</li> <li>▪ Define Risks, Mitigations, Containment or Contingency Plans</li> <li>▪ Define help desk procedures</li> <li>▪ Create detailed plan for Go-Live and Post-Implementation Phase</li> </ul>
People	<ul style="list-style-type: none"> <li>▪ Update Value Realization Action Plan</li> <li>▪ Deliver End-User Education</li> <li>▪ Conduct End-User Education Assessments</li> <li>▪ Define Business Continuity Plan</li> <li>▪ Define Go-Live Criteria</li> <li>▪ Obtain approval for cutover</li> </ul>
Process	<ul style="list-style-type: none"> <li>▪ Perform data reconciliations and obtain signoffs</li> <li>▪ Conduct user acceptance testing</li> </ul>
Information	<ul style="list-style-type: none"> <li>▪ Execute and refine data migration plan including data cleansing and data validation oversight</li> </ul>
Technology	<ul style="list-style-type: none"> <li>▪ Conduct performance test</li> <li>▪ Tune Enterprise System System(s)</li> <li>▪ Conduct Systems Management tests</li> <li>▪ Execute and refine the Cutover Plan</li> <li>▪ Assess archiving needs</li> <li>▪ Build live production System</li> <li>▪ Rehabilitate or retire Legacy Systems</li> </ul>

### Exhibit 10: Implementation - Preparation Activities and Deliverables

#### 4.2.5.2 Implementation - Go-Live

After all the necessary implementation preparation steps have been completed (e.g., user training, data cleansing, etc.), implementation Go-Live tasks are used to transition the user community from the legacy applications to the new enterprise solution. Go-Live is the process of moving from a pre-production environment to a live-production environment, and the beginning of transition of the production application to the support organization.

The table below lists examples of activities and responsibilities for Implementation Go-Live. At the beginning of each release, the AgCSS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES
Project Management	<ul style="list-style-type: none"> <li>Provide short-term production support</li> <li>Manage and escalate issues</li> <li>Define Risks, Mitigations, Containment or Contingency Plans</li> <li>Stabilize the Go-Live and verify live business process results</li> <li>Document Project signoff and closure</li> </ul>
People	<ul style="list-style-type: none"> <li>Develop and track Value Realization Measures</li> <li>Evaluate effectiveness of End-User Education</li> <li>Create ongoing education plan from ongoing education strategy</li> </ul>
Process	<ul style="list-style-type: none"> <li>Execute the Go-Live Playbook</li> </ul>
Information	<ul style="list-style-type: none"> <li>Document implementation progress, problems, corrective actions, etc.</li> </ul>
Technology	<ul style="list-style-type: none"> <li>Cutover to Production System</li> <li>Perform a controls and security post implementation assessment</li> <li>Create Upgrade / Enhancement Strategy</li> </ul>

### Exhibit 11: Implementation - Go-Live Activities and Deliverables

The Systems Integrator will provide production support assistance during Go-Live and sustainment to help facilitate an effective and orderly transition for ongoing production support to the long-term support organization.

The table below lists Systems Integrator activities that will occur in addition to the activities and responsibilities managed under Project Management, People, Process, Information, and Technology during the Implementation Phase.

CATEGORY	ACTIVITIES
Systems Integration	<ul style="list-style-type: none"> <li>Provide heightened production support assistance during the Go-Live support for one month after Go-Live</li> <li>Participate in preparing daily reports on incidents and resolution progress on high-priority issues</li> <li>Transfer incremental knowledge related to the AgCSS Project to the support organization</li> <li>Act as issue support group for FDACS Support Desk with respect to implementation issues and problems</li> <li>Provide a period of post-implementation support</li> </ul>

### Exhibit 12: Systems Integrator Activities

#### 4.2.6 Post-Implementation

Post-Implementation efforts are necessary to ensure that gains are maintained and adoption is confirmed. Ongoing performance of actions in keeping with the direction agreed to at the end of each event is necessary to form a foundation for future improvements. The Post-Implementation initiative will involve the routine completion of simple audit checklists based on a systematic review of actions completed and a regular walk-through of the processes completed every other month to confirm adherence to the guidelines and goals that govern the project. Activities may include:

- Maintain audit calendar
- Conduct audits
- Prescribe corrective actions

As the system is implemented, the organization will see opportunities for optimizing the implementation of the new system. To take advantage of these process improvements the AgCSS PMO will develop a plan to implement the following:

- Creating formal documentation
- Training of staff on revised process
- Revising procedures and creating
- Communicating results and benefits to employees in the affected area
- Engaging the Finance function to calculate benefits
- Monitoring gains on local Key Performance Indicators (KPIs)
- Developing audit criteria for future use

#### 4.2.7 Overall Project Activities

Supplementary to the defined release phases and activities, there are additional, overall tasks. These tasks have shared responsibility between the vendor and FDACS that continue throughout the lifecycle of the project. At the beginning of each release, the AgCSS PMO team (FDACS and vendors) will determine the specific milestones, deliverables and activities needed – and update the Master Project Schedule accordingly. Examples are described in the exhibit below.

CATEGORY	ACTIVITIES
Project Management	<ul style="list-style-type: none"> <li>▪ Overall execution of project</li> <li>▪ Perform Project Tracking and Reporting</li> <li>▪ Secure and Manage Project resources including extended project resources, stakeholders, impacted and third parties</li> <li>▪ Oversee contractual responsibilities</li> <li>▪ Administer Project Change Control Procedures</li> <li>▪ Govern Project Standards and Procedures</li> </ul>



CATEGORY	ACTIVITIES
Process	<ul style="list-style-type: none"> <li>▪ Oversee business analysis activities</li> </ul>
People	<ul style="list-style-type: none"> <li>▪ Maintain both internal and external Project communications</li> <li>▪ Monitor end-user learning and adoption</li> </ul>
Technology	<ul style="list-style-type: none"> <li>▪ Manage technology and information strategy, analysis, and quality</li> </ul>
Information	<ul style="list-style-type: none"> <li>▪ Monitor and ensure data security, quality, integrity, and availability</li> </ul>

**Exhibit 13: Overall Project Activities**

## 5 Scope Management Plan

The Scope Change Management Plan describes how the project scope changes are defined, documented, verified, managed, and controlled. During the planning process, requirements will be captured; the scope defined by identifying and describing the work needed to produce the system and ensure sufficient detail is included so that:

- All known project work has been identified;
- Appropriate management controls can be applied; and, no
- A Work Breakdown Structure (WBS) is developed.

Scope Management (Change Control) helps to validate requested changes to the project scope are justified, measured, and approved. The Scope Change Management Plan identifies the process used to manage and control the project’s scope such that:

- Processes needed to manage and control project scope are defined; and,
- The Project Team understands its role.

AgCSS Project Scope changes require a formal change request, and all formal change requests must be tracked (see exhibit below) using the AgCSS Project Change Request (PCR) Log. Once a change request is identified, it is entered as a Project Change Request Work Item in JIRA. Change requests are reviewed as part of the AgCSS Project status report meeting. Minor changes (i.e., changes having no negative impact on cost, critical path, or final quality of solution) can be approved by the PPMO Manager, while major changes must be referred to the Executive Sponsor and/or the IT Governance Team.

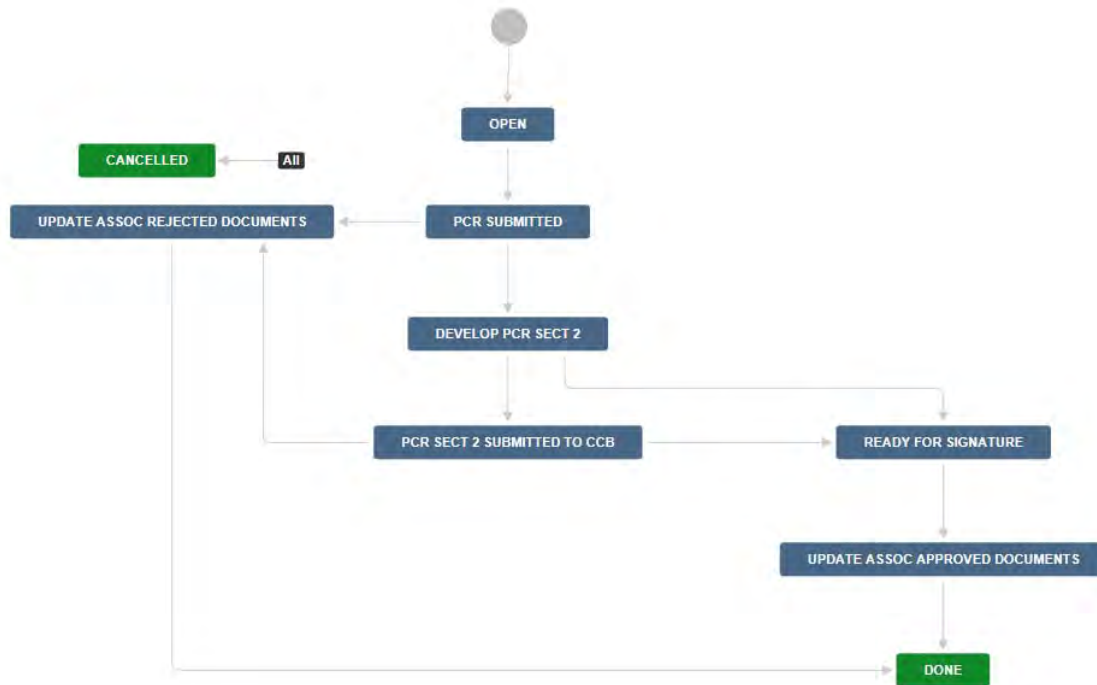
JIRA provides the following facilities for PCR work item management:

- A PCR work item that any team member can use to capture PCR.
- A PCR dashboard that summarized PCR captured, communicated or under review.
- A PCR list which can be downloaded to excel.
- A CCB Status Field to track change status to the requirement and procurement (PLOG) work items.

The following key fields are associated with the JIRA PCR Work Item:

Field	Description
<b>JIRA ID</b>	Unique identification number for the work item in JIRA.
<b>Summary</b>	Brief description/title of the work item.
<b>Priority</b>	Priority of the work item such as critical, high, medium or low.
<b>Severity</b>	Measures severity of an issue.
<b>Description</b>	WIKI style memo field to capture detailed description of the work item.
<b>Resolution (Work Item Closure) Notes</b>	Memo field used to capture closing status comments.
<b>Epic Group</b>	Allows grouping of EPICs by configuration item type. Epic groups can be common component themes or configuration items (records, interfaces and the like)
<b>Magnitude of Change</b>	Order of magnitude sizing of the change.
<b>Change Type</b>	Type of Change requested.
<b>Rational for Change</b>	Description of rationale for change.
<b>Impact if Change Not Implemented</b>	Impact to the project scope, schedule, resources if the change is not approved.
<b>Request Implementation Date</b>	Date the PCR is requested to be implemented in production.
<b>Workaround (if applicable)</b>	Description of the work around.
<b>Impact Analysis Authorized Date</b>	Date that the impact analysis is authorized.
<b>Impact Analysis Priority</b>	Relative priority of impact analysis.
<b>Scope Impact</b>	Description of the scope impact.
<b>Schedule Impact</b>	Description of the schedule impact.
<b>Financial Impact</b>	Description of the financial impact.
<b>Impacted Artifacts</b>	List of artifacts that are impacted by the change.
<b>Resolution Code (Disposition)</b>	Final disposition of the PCR (Approved, Rejected).
<b>Resolved Date (Disposition Date)</b>	Date the PCR final disposed is determined.
<b>Resolved By (Disposition By)</b>	Individual who determined the final disposition
<b>Resolution Notes (Disposition Comments)</b>	Final disposition notes and reasoning.

The PCR work item is associated with the following workflow in JIRA to manage the change control process.



The table below describes each status of the workflow item.

ID	Step	Description and Workflow Validation Requirements.
1	OPEN	A PCR that is new is in "Open" Status. The risk has not been assigned to an owner or an assignee.
2	PCR Submitted	The PCR is submitted to the CCB for initial review and authorization to start impact analysis.
3	Develop PCR Section 2	The PCR is approved for impact analysis. The requestor will develop supporting documentation.
4	PCR Section 2 Submitted to CCB	The PCR documentation has been submitted to the CCB.
6	Update Assoc. Approved Documents	PCR documentation is reviewed and has directed updated by the CCB.
7	Ready for Signature	The PCR documentation is approved and is ready for signature.
8	Updated Rejected Documents	The CCB has requested the documentation to be updated and resubmitted.
9	Done	The PCR process is complete. The resolution code is updated as approved, rejected, or on hold.
10	CANCELLED	The PCR item is cancelled.
11	REOPEN	PCRs that were put on hold or cancelled can be re-opened. After PCR is "Re-opened", it will either go back to the ASSIGNED, ON HOLD or CANCELLED.

Requirement and PLOG work item in JIRA include a CCB Status field indicator. If a requirement or procurement work item is modified or added, this field is used to track the CCB approval process. Additionally, these work items also include a CCB Type field, track whether the work item represents a modification or a net new line item from the requirement and procurement baseline.

The table below illustrates the values of the CCB Status and CCB Type field in JIRA.

CCB Status	CCB Type
<b>NA – as per ITN baseline.</b>	Modification – represents a change to the project baseline.
<b>Proposed – new requirement or procurement item.</b>	Proposed – represent a new work item or addition to the project baseline. The new work item is pending submission to the CCB for impact analysis approval.
<b>Modified – a requirement or procurement item proposed for modification.</b>	Modified – represents a work item that is proposed for modification from the baseline, approved requirement. This work item status is pending approval by the CCB for impact analysis.
<b>Assess Impact – item is approved for impact assessment by the CCB. Work item should be linked with a PCR at this point in the process.</b>	The CCB has approved impact analysis for this work item.
<b>CCB Review – Impact assessment is submitted; work item is associated with a PCR Work Item. CCB has work item for review and decision disposition.</b>	Impact analysis is complete and documentation is submitted to the CCB for review and approval.
<b>Approved – work items and associated PCR is approved to be added, as proposed or modified, to the project baseline. Associated PCR should be approved. All baselines should be updated to reflect change in scope, resource and/or schedule.</b>	The CCB has approved the work item change/addition.
<b>Deferred – proposed/changes to work items are deferred to the future by the CCB. Implementation of changes to the project baseline does not occur.</b>	The CCB has deferred a decision for work item change/addition. This status may only be used if the change/modification is optional.
<b>Rejected – proposed/changes to work items are rejected by the CCB. The associated PCR resolution should be set to rejected. Work items will be delivered per current approved requirements.</b>	The CCB has rejected the work item change/addition.

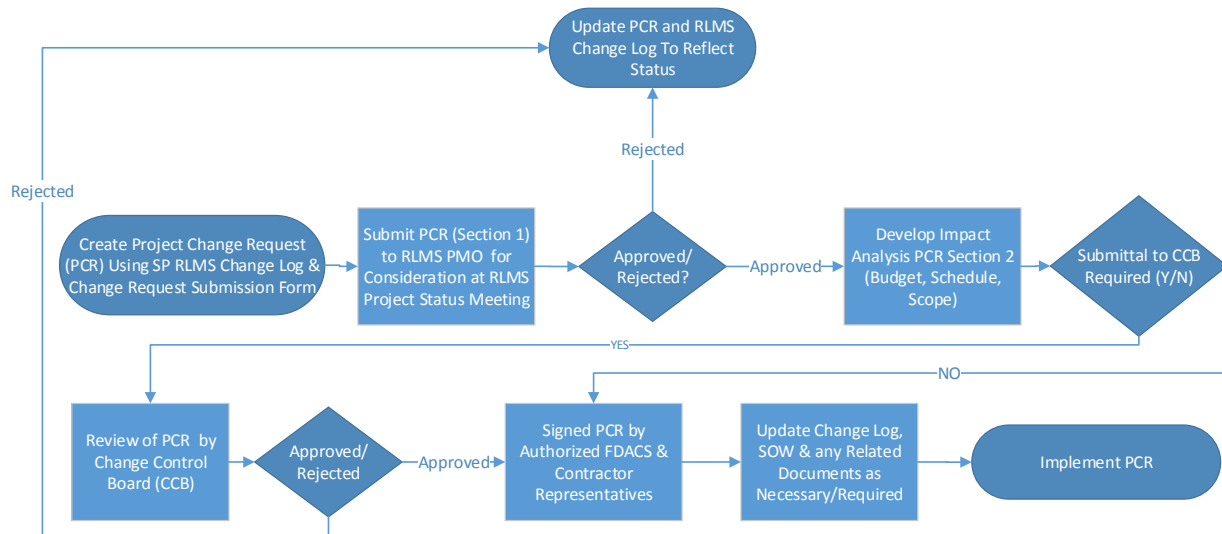
### 5.1 Project Change Control Process

FDACS AgCSS PMO maintains a Change Request Log on the AgCSS JIRA containing all submitted change requests, whether proposed by the vendor or requested by FDACS. Screen shot below depicts the Change Request Log on the AgCSS Project website.

Exhibit 13 below graphically depicts the AgCSS Project Change Control Process.

Project Change Request Process

AgCSS Project



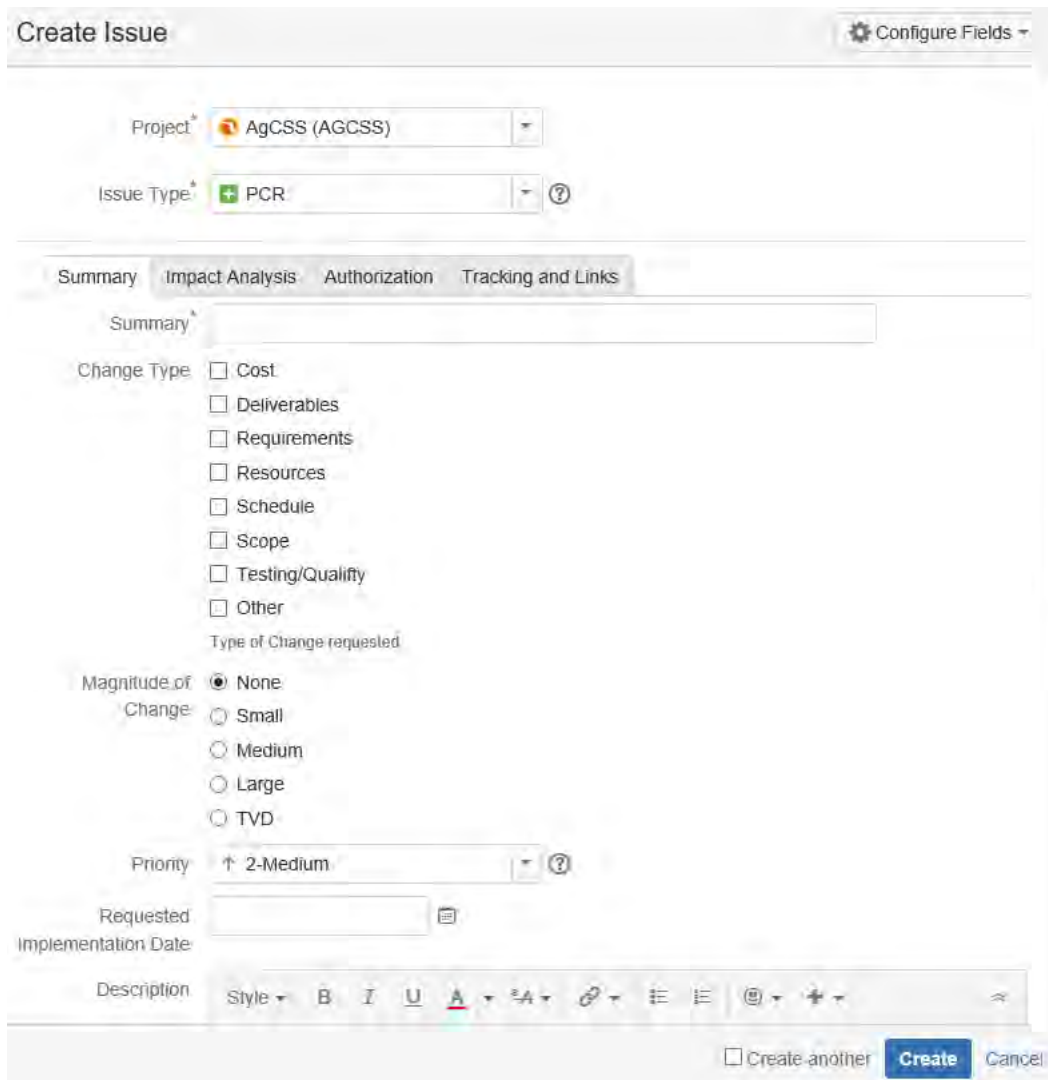
### Exhibit 14: Project Change Request Process

As depicted above, the process described below will be followed if a change to the Project statement of work (SOW) is required:

- An electronic Project Change Request (PCR) form will be the vehicle for requesting and communicating a change request.
- The PCR form must be completed in JIRA with the appropriate level of detail so impacted parties can make informed decisions. Formal copies can be printed or emailed from JIRA.
- The designated Project Manager of the requesting party will review the proposed change and determine whether to submit and present the request at the AgCSS Project Status Meeting. The JIRA PCR workflow will facilitate the review and authorization process.
- The AgCSS PMO will review the submitted request and either reject the request or approve for submittal to the Change Control Board (CCB) by advancing the JIRA Workflow appropriately.
- The Change Control Board will review the proposed change and agree to implement it or reject it.

- A PCR must be signed by authorized representatives from both parties to authorize the proposed change. Electronic signature and update of the JIRA PCR Resolution and Resolution Notes field will serve as authorization or rejection of the change request.
- A PCR must be signed by authorized representatives from both parties to authorize implementation of any agreed changes to the SOW and the agreement. Until a change is agreed to in writing, both parties will continue to act in accordance with the latest agreed version of the SOW. GCOM will acknowledge the disposition of the PCR disposition in JIRA. This acknowledgement will be time and date stamped; and will serve as the GCOM electronic signature.
- GCOM will invoice AgCSS for any such charges per the terms of the SOW and the agreement.
- A PCR that has been signed by authorized representatives from both parties constitutes a change authorization for purposes of the SOW and the agreement.
- The Change Control Board is made of the following:
  - › FDACS Executive Sponsor
  - › FDACS PPMO Manager
  - › Impacted Business Owner
  - › FDACS AgCSS Project Manager
  - › GCOM Project Manager or Project Director in a non-voting capacity
  - › Other PMO and Project Staff as required or designated

The next exhibit below displays the first page of the JIRA based PCR.



**Create Issue** Configure Fields

Project: AgCSS (AGCSS)

Issue Type: PCR

Summary: [Text Field]

Change Type:

- Cost
- Deliverables
- Requirements
- Resources
- Schedule
- Scope
- Testing/Quality
- Other

Type of Change requested

Magnitude of Change:

- None
- Small
- Medium
- Large
- TVD

Priority: 2-Medium

Requested Implementation Date: [Text Field]

Description: [Rich Text Editor]

Create another **Create** Cancel

The following below are key data elements of the PCR:

1. Change Request # - Assigned by the RAID Coordinator upon validation.
2. Change Request Title – Enter a short descriptive title of the Change Request.
3. Requester – This is the person requesting the change.
4. Submission Date – enter the date submitted in DD/MMM /YY format.
5. Request Type – indicate Change Request type by checking either Schedule  Cost  Scope  Requirements  Requirements  Deliverables  Testing/Quality  Resources  Other
6. Magnitude of Change – indicate by checking  Small  Medium  Large or  TBD.
7. Priority – indicate how quickly the request must be addressed by checking  High  Medium or  Low.
8. Requested Implementation Date – enter the date by which the change must be implemented in DD/MMM /YY format.

9. Description of Requested Change – Enter the narrative description of the Requested Change.
10. Rationale for Change – Enter a narrative rationale for the Requested Change.
11. Impact if Change not Implemented – Enter a narrative description of the impact if the change is not implemented.
12. Workaround – if applicable, enter a narrative description of any workaround, if known.
13. Impact Analysis Authorized Date – Indicates Project Director authorization to proceed with Impact Analysis, DD/MMM /YY.
14. Impact Analysis Priority – Check  Low  Medium  High or  Critical to indicate how quickly the analysis must be addressed.
15. Scope Impact – Enter a narrative description of the impact to Scope.
16. Schedule Impact – Enter a narrative description of the impact to Schedule.
17. Financial Impact – Enter a narrative description of the impact to budget. This is related to the total impact to the project financials (in dollars). This field includes a number and can be zero, positive, or negative.
18. Impacted Artifacts – [Provide a detailed list of all impacted artifacts, including requirements, functional specifications, technical specifications, test scripts, procedures, training materials, etc. Attach separate list if needed.
19. Disposition – Check whether the Change Request is  Approved  Rejected  Deferred or  Withdrawn
20. Disposition Date – Enter the disposition date in DD/MMM/YY format.
21. Disposition By – Signed by the Project Director or Project Sponsor(s).
22. Disposition Comments – Enter a narrative explanation of disposition.

### **Exhibit 15: Change Request – Notes Section**

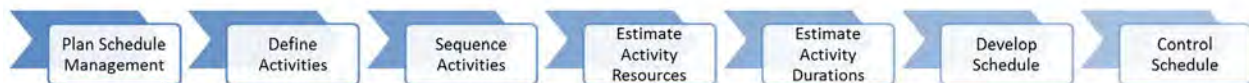


## 6 Schedule Management Plan

This section defines the policies, procedures, and documentation for planning, developing, managing, executing and controlling the timely completion of the project.

The Schedule Management Plan describes the AgCSS Project's process for preparation and maintenance of the comprehensive overarching enterprise or Master Project Schedule, incorporating any subordinate or lower-level schedules as required, including activities performed by the AgCSS Project personnel team and vendors. The plan identifies processes to monitor actual project progress against the project schedule baseline in the Master Project Schedule, as well as how to track the schedule against any formal changes to the plan. **The AgCSS Master Project Schedule (AgMPS)** integrates all tasks and their required attributes from each project team (department and vendors). Each project work stream will have a schedule coordinator whose schedule management responsibility is to work directly with the PMO (PMO Schedule Manager) to facilitate the bidirectional communications and any collaboration required for maintaining the AgMPS and keeping the project completion on time. The AgCSS Master Project Schedule will be maintained by the AgCSS PMO. All DDI schedule components of the Master Project Schedule will be planned and maintained at the direction of the GCOM PMO. The following section outlines the high-level critical tasks of the Project's schedule management approach and the key metrics that will be used to measure the Project's schedule performance.

The exhibit below lists the Schedule Management Processes as defined in PMBOK®.



**Exhibit 18: Schedule Management Processes**

### 6.1 Key Activities

The following table lists the activities required as part of Schedule Management Plan. In order to achieve the results expected from this plan, the project team must implement each of these activities into their regular (daily, weekly, monthly, etc.) processes. Each process will be evaluated at regular intervals for compliance.

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Schedule updates for project status meetings based on actual updates provided by the GCOM Project Manager and/or Work Stream leads	Weekly or Bi-weekly *	<ul style="list-style-type: none"> <li>AgCSS PMO Schedule Manager</li> </ul>

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Task status reporting provided either manually and/or through JIRA Work Plan Synchronization	Weekly or Bi-weekly *	<ul style="list-style-type: none"> <li>Schedule Coordinators and/or Work Stream Leads</li> </ul>
Master Project Schedule updates	Weekly or Bi-weekly *	<ul style="list-style-type: none"> <li>AgCSS PMO Schedule Manager</li> </ul>
Generate schedule related reports for input to project status report	Weekly or Bi-weekly *	<ul style="list-style-type: none"> <li>AgCSS PMO Schedule Manager</li> </ul>
Rolling wave schedule planning – Master Schedule	Quarterly	<ul style="list-style-type: none"> <li>PPMO Manager</li> <li>AgCSS Project Manager</li> <li>AgCSS PMO Schedule Manager</li> <li>GCOM Project Manager</li> <li>Work Stream Leads</li> </ul>
Work Stream Schedule updates for IT Governance Team meetings	Monthly (3 <sup>rd</sup> week of each month)	<ul style="list-style-type: none"> <li>PPMO Manager</li> <li>AgCSS Project Manager</li> <li>IT Governance Team</li> </ul>
Evaluate the effectiveness of the Schedule Management Plan	Ongoing	<ul style="list-style-type: none"> <li>AgCSS PMO Schedule Management Plan Owner</li> </ul>

**Exhibit 16: Key Activity List (\* see section 0 - Project Status Reporting)**

## 6.2 Plan Performance Metrics

As a result of the activities above, it is expected that the project team will perform at certain measurable levels. The following table includes some standard metrics related to the Schedule Management and the expected level of performance. The AgCSS Project PMO and PPMO may add to or refine this list of Metrics as needed. The AgCSS PMO is responsible for generating the following metrics and reports from the AGCSS Master Schedule. These levels will be evaluated at regular intervals for compliance.

CRITERIA DESCRIPTION	MEASUREMENT
Task status updates submitted or provided during bi-weekly schedule update process	100% compliance
Percentage of GCOM resources over allocated	<25% <sup>1</sup>
Percentage of FDACS resources over allocated	< 5%
Number of 900-level tasks delayed	Track over time

<sup>1</sup> For example, this metric would be looking for over-allocation of project resources greater than 125% (50-hour work week)

CRITERIA DESCRIPTION	MEASUREMENT
Number of 300-level tasks delayed	Track over time
Schedule Performance Index (SPI)	< 0.9 or > 1.1
Schedule Variance	> 0
Estimate to Complete (ETC)	Track over time
Estimate at Completion (EAC)	Within 2% of Budget
Milestone/Deliverable Critical Path Schedule Variance	Any variance
Number of Late Tasks (start and complete)	Late Start or Late Finish
Late Task Trending	Captured and reported in the Bi-weekly Status Report
Variance at Completion (budget at completion minus estimate at completion - dollar figure - end of project reporting measure)	>0

### Exhibit 17: Plan Metrics

#### 6.3 Roles and Responsibilities

The RLMS Project uses Microsoft Project version 2010 or higher to provide the integrated AgCSS Master Project Schedule (AgMPS) as its primary schedule-planning tool. The roles and responsibilities of the key players are addressed in the table below.

ROLE	RESPONSIBILITY
AgCSS PMO Schedule Manager	<ul style="list-style-type: none"> <li>▪ This role is assigned by the AgCSS Project Manager and will be the responsibility of the AgCSS PMO.</li> <li>▪ Coordinates the consolidation of work stream activities into the AgMPS</li> <li>▪ Coordinates with the Work Stream Schedule Coordinators on tasks, resources, and dates as needed</li> <li>▪ Manages and oversees resource assignments and allocations</li> <li>▪ Escalates issues with incomplete schedule activities</li> <li>▪ Manages the baseline schedule</li> <li>▪ Monitors schedule against schedule evaluation metrics</li> <li>▪ Reviews updates from work stream activities in the Master Project</li> <li>▪ Schedules and updates the Master Project Schedule</li> <li>▪ Coordinates resolution of problems and schedule conflicts across sections</li> <li>▪ Generates bi-weekly reports: Critical Path, Critical Late Tasks, Summary Status Report, and Resource Allocation</li> <li>▪ Develops quarterly rolling wave reports</li> <li>▪ Supports and performs updates to the DDI Schedule at the direction of the GCOM PMO.</li> <li>▪ Support and/or performs JIRA synchronization at the direction of the GCOM PMO.</li> <li>▪ .</li> <li>▪ Support GCOM PMO with what-if schedule analysis.</li> <li>▪ Maintains the status date and actuals on no less than a biweekly basis.</li> </ul>
Work Stream Schedule Coordinators	<ul style="list-style-type: none"> <li>▪ These roles are assigned by the Project Managers and will be the responsibility of the work stream leads unless otherwise designated.</li> <li>▪ Determines the status of assigned activities for their section(s) and provides updates on the established project status reporting cycle</li> <li>▪ Tracks their assigned activities to completion</li> <li>▪ Works with other Schedule Coordinators to identify and negotiates inter-project dependencies</li> <li>▪ Analyzes impacts of schedule and resource changes, documents any risks</li> <li>▪ Manages and/or completes tasks as assigned in the project schedules</li> </ul>
FDACS Project Manager	<ul style="list-style-type: none"> <li>▪ Allocates PMO resources</li> <li>▪ Ensures that AgCSS team members comply with the schedule management processes</li> </ul>

ROLE	RESPONSIBILITY
Work Stream Leads	<ul style="list-style-type: none"> <li>▪ Ensures team members comply with the schedule management processes</li> </ul>
IT Governance Team	<ul style="list-style-type: none"> <li>▪ Reviews schedule status and major schedule risks and issues on a monthly basis</li> <li>▪ Ensures major schedule issues are resolved and major schedule risks are mitigated in a timely fashion</li> <li>▪ Reviews and approve any material changes to project schedule</li> </ul>
Project and Portfolio Management Office (PPMO)	<ul style="list-style-type: none"> <li>▪ Conducts schedule reviews to ensure the Schedule Management Plan is being followed</li> <li>▪ Provides mentoring and technical support to the AgCSS Project Manager</li> </ul>
GCOM PMO	<ul style="list-style-type: none"> <li>▪ Maintains JIRA and Master Project Plan connector.</li> <li>▪ Maintains read write privileges to the Master Project Plan throughout the DDI Period of Performance.</li> <li>▪</li> </ul>

**Exhibit 18: Schedule Management Roles and Responsibilities**

**6.4 Schedule Management**

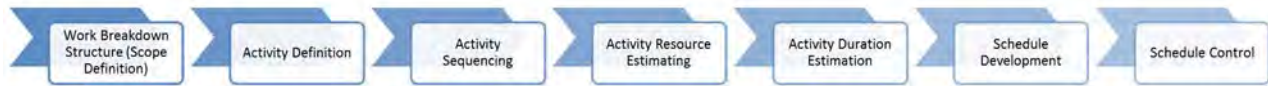
Project Schedule Management for AgCSS involves identifying the work stream activities to be included in the AgCSS Project. The products and services to be provided by work stream leads are:

- Developing activity schedules;
- Assigning resources for these projects;
- Integrating the schedules into the AgMPS; and
- Executing and managing these work streams according to the Schedule Management Plan.

This plan identifies the approach and guidelines for defining work breakdown structures, activities, and resource requirements that are common among all AgCSS work streams. By sharing the same approach and, tools, the ability to coordinate and exchange information between work streams is greatly improved.

The sub-sections below review the key scheduling components and how they will be implemented on the AgCSS Project. They establish a framework for how AgCSS Schedule Coordinators will interact with each other and the AgCSS PMO and GCOM Schedule Managers to ensure schedules are developed and maintained as consistently as possible within the AgMPS.

The schedule management approach is based on the PMBOK® project-planning framework. The following exhibit provides an overview of the Schedule Management Planning processes.



### Exhibit 19: Schedule Management Planning Framework

#### 6.4.1 Work Breakdown Structure

Project schedule development begins with the definition of the products and services, or “deliverables” that make up the project. This is accomplished through a Work Breakdown Structure (WBS). The WBS is a hierarchical view of the products and services (including Project Management and oversight work) that are included in the Project. The WBS allows for the accumulation and summarization of schedule data necessary to track project progress.

#### 6.4.2 Activities

Activities are the fundamental work elements of a project. They describe what is being done to complete work and are found at the lowest level of the WBS. They are the smallest subdivision of work that directly concerns a project manager.

The primary resource assigned to perform the activity is responsible for managing and tracking the progress. The Work Stream Lead is responsible for managing and tracking the progress of the overall activity.

The WBS work products are decomposed into work packages consisting of activities of no more than 80 hours duration that can be more easily tracked and reported within the schedule status and reporting processes.

The Master Project Schedule was developed and will be maintained using the following standards:

- Project activities’ durations/effort will be by hours not days.
- An activity will be the responsibility of one primary resource and can include secondary resources to complete activity.
- activities within the six-month rolling-wave planning window will be no more than 10 days in duration. Activities outside of the six-month rolling-wave planning window may exceed 80 hours duration, but it is recommended that more detailed activities be included in the schedule when they are known, even if this is outside of the six-month planning window.
- Activities must be defined with clear, objective completion criteria.
- Each sprint will include a final task to review the sprint plan verse actual product/task completion variances.

Exceptions to the standards must be approved and have a justifiable reason for non-compliance that still maintains the ability to monitor progress of activities without making the process burdensome to those reporting statuses. Currently, only three types of activities are acceptable exceptions to the 80-hour duration rule within AgMPS. Those exceptions are:

- Activities that are being tracked at sufficient detail in an external database such as JIRA that can provide progress status as input to the status reporting process; and,
- Activities that are level-of-effort tasks that do not have a definitive work product produced (e.g., technical support, deliverable reviews or ongoing maintenance type work efforts).
- Project meetings represented in the project schedule

When adding an activity to a project schedule, the Schedule Coordinator must provide the AgCSS PMO Schedule Manager with the following data for each activity in the Project Schedule.

- Activity Description
- Activity Start Date (or predecessor activity)
- Activity Finish Date (or duration)
- Successor/Predecessor Activities
- Resource or Role Group
- Named Resources Required (minimum by role or team if outside six-month rolling wave period)
- Effort Required
- Task Priority

Level-of-Effort (LOE) activities refer to ongoing activities that are performed continuously throughout the life of the Project and typically do not have definite start and finish dates or durations associated with them. The LOE activities are support tasks that do not directly tie to project deliverables but still require the efforts of project resources. Examples of this type of activity are logging time on timesheets or checking/sending e-mail. While LOE activities are important and must be carried out on a daily or weekly basis, these activities provide no value for tracking in the AgMPS.

There are additional activities in support of the vendors' development efforts. These are similar to LOE activities in that the FDACS resources assigned to them are not responsible for creating work products or deliverables (deliverables are the vendor's responsibility). These activities differ from typical LOE activities. They have start and finish dates, and are tied to the vendor's schedule. The AgMPS must include such support activities, and link them to the vendor's schedule, so FDACS staff participation can be planned and coordinated with the vendor. Vendor's activities must be included in the schedule, and the vendor need to work with the AgCSS PMO to ensure that they are.

LOE activities may not typically be placed in the AgMPS. Where LOE tasks constitute a significant part of a resource's work, the resource's available hours can be reduced. LOE activities are to be managed through the staffing process defined in the Staffing Plan.

### 6.4.3 Activity Description/Activity Naming Convention

The AgMPS is available to many different stakeholders inside and outside of the project. All potential recipients of schedule information must be able to understand the descriptions of the activities and milestones; therefore, descriptions must be as clear as possible. In general, deliverable-related tasks must be action oriented.

Each task identified must clearly identify the team assigned to the task, or its association with a particular project or deliverable. Example: a task for the Project Management Team (PMT) status meeting will be given the full name “PMT Status Meeting” and not shortened to “Status Meeting”. A task for a maintenance project must include the maintenance project identifier number in the task name, for example “312345 – Conduct Unit Test for Batch Program.” A task associated with a specific unique deliverable might be named “B212 Business Blueprint – Conduct Technical Review Session 2.”

#### **6.4.4 Activity Start Date (or predecessor activity)**

Each task must have the activity start date identified. Activity Start Date is the date the activity is expected to begin or, alternatively, activities whose completion will allow the initiation of this activity.

#### **6.4.5 Activity Finish Date (or duration)**

Each task must have the activity finish date identified. The Activity Finish Date is the date when the activity is expected to be completed. It is driven by the duration of the activity starting with the Activity Start Date. Tasks must all be driven by predecessors and lags. All tasks must be linked to a predecessor task to drive the task dates. The use of predecessors and lags are required so a true critical path can be defined and impacts of movement of task dates based on actual completion of tasks can be evaluated.

Actual Start, Actual Finish, and Percent Complete information will be maintained as part of the project schedule in order to support the department’s project performance Quarterly Reports to the Legislature.

#### **6.4.6 Successor Activities**

Where appropriate, each task must include successor/predecessors. A successor activity is any activity that is dependent on the start of or completion of another activity.

#### **6.4.7 Resource Group**

The Resource Group (Work Stream) is designated for each Resource in the AgCSS Master Project Schedule. The lead for the Resource Group (Work Stream Lead) is responsible for completion of each activity must be someone who is in a position to exercise a reasonable amount of authority to see that the work is completed. The lead for each resource group is identified in the AgCSS Bi-Weekly Look-a-Head Report (see Section 6.6.2).

#### **6.4.8 Resources Required**

Resources include the personnel and equipment needed to perform work on an activity. Labor (people) resources can be explicitly identified (e.g., John Smith), or roles can be defined (e.g., Systems Analyst). Roles may be temporarily assigned during initial, high-level or rolling wave planning stages of a project to see how certain resources affect the schedule. During the rolling wave sessions, the roles will be replaced with explicitly defined resources (e.g., Systems Analyst becomes John Smith). Named resources or roles will be



used in the 6-month rolling wave window. Role based assignments will be used for DDI schedule activities meeting the following criteria:

- Activities where the GCOM Development Center Bench will be used.
- Activities that are part of the DDI Configuration Sprints
- Activities that are tracked over release lifecycle using JIRA Workflows, where the activity is assigned to discreet resources over its lifecycle in accordance with SCRUM Alliance story management.

The AgMPS contains a pool of resources shared across the AgCSS Project portfolio. Accordingly, project resources may be shared across the various AgCSS Project work streams. The AgMPS PMO Schedule Manager will include and track all project resources in the AgMPS Master Resource Pool. An estimated percentage of effort will be included with the resource to define the level of participation in the activity.

Work Stream Leads for Systems Integration, Strategy and Organizational Transformation, and AgCSS Project Management must use the resource and/or role names as listed in the AgMPS when planning, managing, updating, and reporting their work stream activities. This prevents resource duplication when work stream and project release activities are added to and/or updated in the AgCSS Master Project Schedule.

Resources and roles will not be assigned to summary-level tasks or to milestones.

#### **6.4.9 Effort Required**

Effort must be included. The effort required is the estimated units of work in hours needed to perform and complete the activity. The AgCSS Master Project Schedule will utilize hours for tracking effort.

#### **6.4.10 Activity Sequencing**

Once the activities to develop a deliverable have been defined, the next step is to identify and document the sequence in which work will be performed. Identifying direct relationships between tasks provides greater understanding of the project tasks and the schedule. By identifying the logical relationships between activities in scheduling, the sequence and dependencies of tasks can be identified.

All work performed on the AgCSS Project will flow into or feed other work yet to be performed on the project. This is called a predecessor/successor relationship. Each activity must have at least one predecessor and one successor defining its sequencing. These activity dependencies must be defined at the lowest activity detailed, rather than at a summary level.

Relationships within the AgMPS are not limited to the activities of a single WBS element. The Work Stream Lead developing the schedule for a deliverable must be aware of relationships with other activities in other WBS elements or work streams.

The following types of logical relationships show that activities can be linked to one another in several different ways:

- Finish to Start (FS) Relationship – A relationship in which the start of a successor activity depends on the completion of its predecessor activity.
- Finish to Finish (FF) Relationship – A relationship in which the finish of a successor activity depends on the finish of its predecessor activity.
- Start to Start (SS) Relationship – A relationship between activities in which the start of a successor activity depends on the start of its predecessor.
- Start to Finish (SF) Relationship – A relationship between activities in which the finish of a predecessor activity depends on the start of its successor.

***Finish to Start is the most common relationship between activities and is the default relationship that will be used for the AgCSS Project.***

Constraint Dates – Constraint dates are used to control activity start or finish dates. Constraint types include start on, start on or before, start on or after, finish on, finish on or before, finish on or after, as late as possible, mandatory start, and mandatory finish. Each type will result in a different calculation of date and float. Constraints can be useful for establishing targets, or for ensuring that activities appear on a specific date (like scheduled meetings), but they must be used with caution because they can cause violations of logical relationships. If no constraint and constraint date are defined, the activity will be scheduled to begin as soon as possible. AgCSS Project constraints will be determined by the AgCSS PMO.

#### **6.4.11 Milestones**

A milestone is an activity with no duration (zero days) and no resources. Milestones represent the completion of significant work packages/efforts, the start or end of a project phase, deliverables, or some other key event. For the AgMPS, milestones are used for two main purposes: 1) to designate key progress markers, events or deliverables that can be used to monitor and measure project progress and provide management review points and 2) to establish dependencies between the AgCSS work streams.

- Monitor and measure project progress. By comparing the baseline completion dates for milestones with the actual completion dates, it can be determined whether the Project overall is on schedule. This comparison can also help identify the portions of the overall Project that are ahead or behind schedule and then determine what kind of corrective actions will be taken to keep the project on schedule. These corrective actions will be managed through the Issue/Action Item Management (Section 15). The schedule contains a field (Status Report) that can be set to monitor the major milestones and work streams that have been deemed critical to the AgCSS project by AgCSS leadership. Milestones and tasks with Status Report of ‘Y’ are extracted to the bi-weekly project status report. Note that a project may also have its own internal milestones, used by the Project Manager to monitor progress of work within that project. These internal milestones may or may not be used to report project progress or schedule variances at coordination team meetings.
- Establish dependencies between AgCSS work streams. AgCSS work stream schedules are initially developed at a high level and, for the most part, are independent from other AgMPS work streams. One of the essential AgMPS planning activities is identifying where one work stream will impact another. These impacts typically occur when a product or output from one work stream is needed by, or provides

input to, an activity in another work stream. To document such a dependency, the delivering work stream defines a milestone marking the completion of its work product. The receiving work stream defines a milestone for accepting the work product. In the AgMPS, these milestones are linked “finish to start” to document the dependency. The most frequent use of such milestones in the AgMPS is to document interaction between the vendor’s work stream and the FDACS’ efforts. A milestone defined in the AgCSS schedule reflects the receipt of deliverables from the vendor. The completion of the milestone initiates a series of FDACS review and approval activities.

#### **6.4.12 Resource Planning**

When defining an activity, the physical resources, resource quantities, and the scheduling of resources required to accomplish the work must be determined. Consideration must also be given to availability and the number of hours per day a resource can devote to project tasks. The processes to manage project-staffing levels are defined in the Staffing Plan.

The goal of resource planning is to ensure the appropriate resources are available to do the work required on critical activities, to determine if a resource is over-allocated during a particular time period, and to provide decision support to Executive Management. Resources that will be estimated include the key members of each Project Team.

As individual work stream schedules and resource requirements are consolidated in the AgMPS, the AgCSS PMO will work with the responsible managers and Schedule Coordinators to identify those resources or roles that are over-allocated, the source(s) of the over-allocation, and possible courses of action to reduce the over-allocation and level resource requirements to achieve a realistic workload.

If there is no obvious resolution to a situation where a resource or role is over- or under- allocated, then the Work Stream Lead owning the task will reference the processes included in the Staffing Plan and work with the Project Manager to resolve the issue.

#### **6.4.13 Resource Leveling**

Resource over-allocation occurs when activities/tasks are competing for the same resource at the same time. There are several means which can be used together or independently to eliminate and/or reduce the over-allocation of a resource. Resource reallocation from non-critical to critical activities is a common way to bring the schedule back, or as close as possible, to its originally intended overall duration. Other methods to reduce duration of critical activities will also be considered, such as the utilization of extended hours, weekends, multiple shifts, or the use of different technologies. Incorporation of the latter method will increase productivity and have a compounded improvement of the activity’s duration.

The steps to resolve over-allocation are:

- Reallocate a resource’s time on a task from periods of over-allocation to periods of under-allocation.
- Switch or replace the over-allocated resource with an available resource.

- Assign additional resources to the activity.
- If additional resources are not available, reschedule the activity to a time when the resource is available.
- If additional resources are not available, increase the resource's workweek.
- If additional resources are not available, increase the resource's workday.

Additional resource allocation management activities are detailed in the Staffing Plan.

#### **6.4.14 Duration Estimation**

It is expected that the duration of all new work on the Project will utilize the guidelines, appropriate estimating tools and techniques available for the Project as described in the sections below. The duration of an activity will be determined by the Work Stream Lead responsible for that activity. The method of determining the duration can vary depending on the nature of the activity. In determining an activity's duration, Work Stream Leads will take into consideration the following:

- Task finish date relative to the project's key milestones
- Task constraints
- Task assumptions
- Resource requirements
- Resource capabilities
- Identified risks

Standards for Duration Estimation:

- Duration estimation will be based on the quantity of work in hours required to complete the task, the amount of available resource(s) with the skills to complete the task, the standard calendar used for all AgCSS work streams and individual resource calendars. The standard calendar defines the length of the workday and non-work days such as weekends and holidays. Individual resource calendars define individual schedules if they vary from the overall project calendar (e.g., individual vacations, four 10-hour versus five 8-hour workdays per week).
- Detailed activities will be between one and two weeks, based on the industry-accepted rule that the work contained in an activity will be scoped so that the activity's duration will be less than two times the update (or status reporting) cycle.
- High-level activities can include durations longer than two weeks (outside of the six-month planning window), but these tasks require more detailed definition when more information is available.

#### **6.4.15 Task Prioritization**

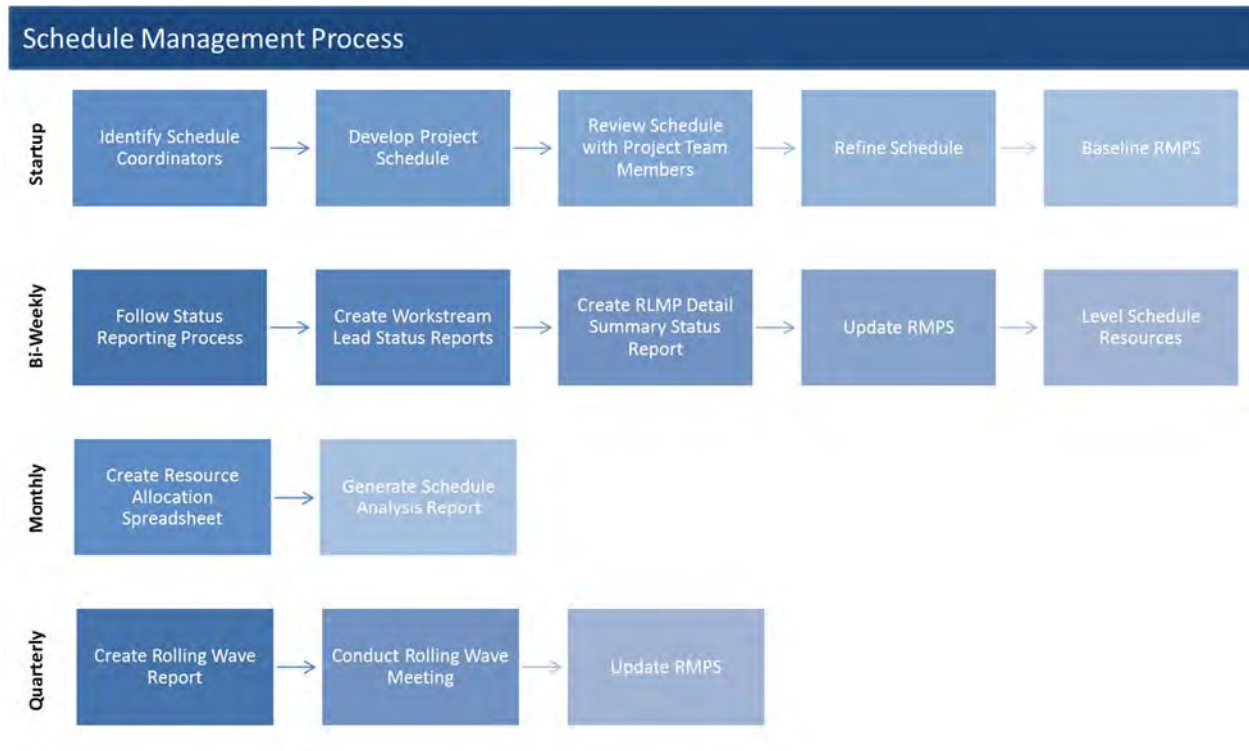
The schedule contains functionality to track individual task priorities. This functionality will prevent low-priority tasks from moving the start or finish dates of a higher-priority task. The priority of a task will be determined by the AgCSS PMO Schedule Manager in conjunction with the Work Stream Lead responsible for that task. Task priority is based on the following:

- 100 – Tasks that do not impact any other teams or the critical path

- 300 – Any task that impacts another team or project
- 900 – All critical path tasks as calculated by the schedule management software having zero total slack

All summary-level tasks will be set to a priority value '1'.

The AgMPS management process is listed below:



**Exhibit 20: Schedule Management Process**

The AgMPS Management associated responsibilities are described below:

TASK	CYCLE	RESPONSIBILITY
Identify Schedule Coordinators	Startup	<ul style="list-style-type: none"> <li>▪ The PPMO, PPMO, and DDI Project Manager selects a Schedule Coordinator for each team responsible for providing updates to their team’s tasks in the AgCSS Master Project Schedule.</li> <li>▪ The schedule coordinator can be the Project Manager, Work Stream Lead, or another Project Manager.               <ul style="list-style-type: none"> <li>○ Schedule Coordinators:                   <ul style="list-style-type: none"> <li>➤ Manage the tasks assigned to their groups</li> <li>➤ Manage the scheduled tasks assigned to team members</li> <li>➤ Mitigate risks associated with their groups</li> <li>➤ Manages resource allocation of team tasks</li> <li>➤ Provides status updates to the PMO per the established schedule update cycle (status reporting cycle)</li> </ul> </li> </ul> </li> </ul>
Develop Project Schedule	Startup	<ul style="list-style-type: none"> <li>▪ The AgCSS PMO works with each Schedule Coordinator to detail out a schedule to manage their work. This includes:               <ul style="list-style-type: none"> <li>○ Developing deliverables and review tasks,</li> <li>○ Consolidating plans where applicable, and</li> <li>○ Detailing a WBS for each section to identify tasks.</li> </ul> </li> </ul>
Review Schedule with Project Team Members	Startup	<ul style="list-style-type: none"> <li>▪ Then Schedule Coordinators for each group review the schedules (tasks) with each team member to:               <ul style="list-style-type: none"> <li>○ Reviewing tasks, timelines, deliverables, and resources, and</li> <li>○ Obtaining agreement from teams on assigned tasks and resources.</li> </ul> </li> </ul>
Refine Schedule	Startup	<ul style="list-style-type: none"> <li>▪ Schedule Coordinators make updates to their proposed schedule based on team member feedback.</li> <li>▪ Schedules can be updated based on priority, critical path, status, resources, and estimated dates prior to baseline.</li> </ul>
Baseline AgMPS	Startup	<ul style="list-style-type: none"> <li>▪ AgCSS PMO baselines the schedule once a final draft has been approved by the Schedule Coordinators and review team.</li> </ul>
Follow Status Reporting Process	Bi-weekly or weekly	<ul style="list-style-type: none"> <li>▪ Refer to the process defined below in Section 6.6.2 Project Schedule Updates to receive updates on all current schedule tasks.</li> </ul>
Create Work Stream Lead Status Reports	Bi-weekly or weekly	<ul style="list-style-type: none"> <li>▪ The AgCSS PMO develops status reports for each Work Stream Lead based on the tasks in the Project Schedule for non-DDI vendor workstreams.</li> <li>▪ The Schedule Coordinators updates the status report tasks as the schedule tasks change.</li> <li>▪</li> </ul>

TASK	CYCLE	RESPONSIBILITY
Create AgCSS Detail Status Report	Bi-weekly or weekly	<ul style="list-style-type: none"> <li>▪ AgCSS PMO is responsible for the Master Schedule Project Status Report, which is the output of the Master Schedule Status Reporting Process. It includes all updates from Schedule Coordinators to be included in the schedule.</li> </ul>
Update Master Project Schedule	Bi-weekly or weekly	<ul style="list-style-type: none"> <li>▪ The FDACS AgCSS PMO integrates the work stream activities into the AgCSS Master Project Schedule (AgMPS).</li> <li>▪ Questions and conflicts with the status report will be managed by the FDACS AgCSS PMO.               <ul style="list-style-type: none"> <li>○ Analyze schedule variances;</li> <li>○ Monitor schedule;</li> <li>○ Escalate delinquent schedules (both dates and schedules that have not been updated);</li> <li>○ Capture plan performance metrics per established frequency.</li> </ul> </li> <li>▪ The AgCSS PMO statuses the AgMPS by rescheduling any tasks that have not started or have not finished prior to the status date up to the current status date once the status reporting updates have been incorporated.</li> <li>▪ The AgCSS PMO baselines new tasks that are incorporated with the status report updates into the AgMPS.</li> </ul>
Level Schedule Resources	Bi-weekly or weekly	<ul style="list-style-type: none"> <li>▪ The AgCSS PMO reviews the resource allocation in the schedule and where possible, levels resources across their tasks for non GCOM Work Streams; GCOM will be responsible for resource leveling on GCOM Work Streams</li> <li>▪ The AgCSS PMO works with Schedule Coordinators to resolve over-allocations that cannot be leveled without additional information.</li> </ul>
Create Resource Allocation Spreadsheet	Monthly	<ul style="list-style-type: none"> <li>▪ The AgCSS PMO creates a report from the Master Project Schedule to reflect resource allocation for the following six months.</li> <li>▪ Refer to the Staffing Plan for additional details of the staffing process.</li> </ul>
Generate Schedule Analysis Report	Monthly	<ul style="list-style-type: none"> <li>▪ AgMPS is analyzed weekly or bi-weekly as part of the status reporting process; on a monthly basis as part of the schedule analysis and quality assurance and IV&amp;V process.</li> <li>▪ The AgCSS PMO will validate the schedule analysis report with the GCOM PMO.</li> </ul>
Create Rolling Wave Report	Quarterly	<ul style="list-style-type: none"> <li>▪ The AgCSS PMO creates a report similar to the status report for each Schedule Coordinator to review their assigned tasks for the following six months.</li> </ul>

TASK	CYCLE	RESPONSIBILITY
Conduct Rolling Wave Meeting	Quarterly	<ul style="list-style-type: none"> <li>▪ The AgCSS PMO conducts the rolling wave meetings.</li> <li>▪ Schedule Coordinators review their rolling wave report individually and with their team.</li> <li>▪ Update requests are documented in the rolling wave report, submitted with a change request if necessary, and reviewed with the AgCSS PMO to resolve any issues.</li> </ul>
Update Master Project Schedule	Quarterly	<ul style="list-style-type: none"> <li>▪ The AgCSS PMO updates the Master Project Schedule based on the requests made in the rolling wave report and meeting or via the approved change request.</li> </ul>

### **Exhibit 21: Schedule Management Process Description**

## **6.5 Schedule Baseline**

A schedule baseline is a version of the schedule against which future schedule performance will be measured. This comparison identifies areas of schedule slippage requiring corrective action to ensure the project remains on track.

Because the schedule baseline is used throughout the Project for measuring actual performance against planned tasks, the AgCSS Project Team reviews all aspects of the schedule before the baseline is finalized. Activities, their dependencies, and their resource requirements are reviewed to ensure milestones and other dates are realistic and achievable, and resources are not over-allocated. The schedule’s critical activities – those that define the longest continuous path through the Project, and determine its finish date – were carefully examined to confirm there is no negative float (indicating that the Project is behind schedule or that constraint dates are not satisfied).

The following types of baselines will be used on the AgCSS Project:

- Original
- Original Baseline with Current Changes
- Revisions

### **6.5.1 Original**

This original baseline must not be changed. It will always represent the Project Schedule as it was first envisioned. In order to protect the original baseline data, the schedule baseline must be taken twice: once in the standard baseline fields, and again in Baseline 2.



### 6.5.2 Original Baseline with Current Changes

As new activities are added to the AgMPS in rolling wave planning, they receive start and finish dates based on the logical relationships of the activity. To identify deviations from these dates the new activities must also be added to the baseline. Their initial schedule data becomes the baseline against which their progress is measured.

The AgCSS PMO is authorized to maintain the original baseline schedule with current changes as necessary in order to capture new activities.

### 6.5.3 Revisions

A revised schedule baseline, or re-baseline, may be established to capture a significant change. A significant change can be defined as a major change that affects the project scope or a major shift in the schedule (for example, changing a large piece of functionality). In essence, the original schedule baseline may no longer provide a realistic means to compare future schedule performance, so a new baseline is established. Revising or re-baselining the AgMPS must follow the AgCSS Change Control process.

Note: If the need for re-baselining does occur, the AgCSS PMO will save two baselines within the Microsoft Project scheduling tool in order to establish the new baseline. The AgCSS Master Project Schedule will be maintained, updated, and stored on the AgCSS SharePoint site per the Document Management Plan and notes documenting any changes made to tasks within the Project Schedule will be maintained within the Schedule.

### 6.5.4 Schedule Modifications

Changes not requiring change control are to be requested (documented) in the AgCSS Detail Status Report. These changes will be reviewed by the AgCSS PMO and work stream lead and approved by the FDACS AgCSS Project Manager and/or PPMO Manager (see the AgCSS Project Decision Log). Once the change request has been analyzed and approved, AgCSS PMO updates the AgMPS with the changes during the next Project Status reporting cycle.

For a new effort to be incorporated into the AgMPS, the Work Stream Lead with overall responsibility for that effort's schedule development will brief interested parties. For major work efforts, this will generally be the leader of the work stream. For schedules that affect resources across sections, the responsible Work Stream Lead will brief the AgCSS PMO at regularly scheduled meetings or call a separate meeting to conduct the brief.

At the schedule briefing, the responsible Work Stream Lead must be prepared to discuss:

- the need for the deliverable(s) (WBS element(s))
- the organizational resources required for the work

- the development process of the schedule
- the activities within the schedule
- the logical relationships between the activities
- the durations of the activities
- the integration of the schedule with other AgCSS work streams
- risk areas

Once the team members have been briefed on the schedule and all questions regarding the schedule have been addressed and approved, the AgCSS PMO will add it to the AgMPS. Once the new schedule is incorporated into the AgMPS, AgCSS PMO incorporates it into the AgMPS intermediate baseline as well.

For subsequent changes to schedules incorporated into the AgMPS (for example, to implement a corrective action), the following rules apply:

- Priority 100 – Dates can be moved at the discretion of the Work Stream Lead.
- Priority 300 – Dates can be moved up to 10 business days from the baseline estimates without a change control request at the discretion of the Work Stream Lead. If a 300-level task is moved more than 10 business days from the baseline estimates, a change request approved by the AgCSS Project Manager and/or PPMO is required.
- Priority 900 – Dates cannot be moved without a change request approved by FDACS.

## **6.6 Updating the AgMPS**

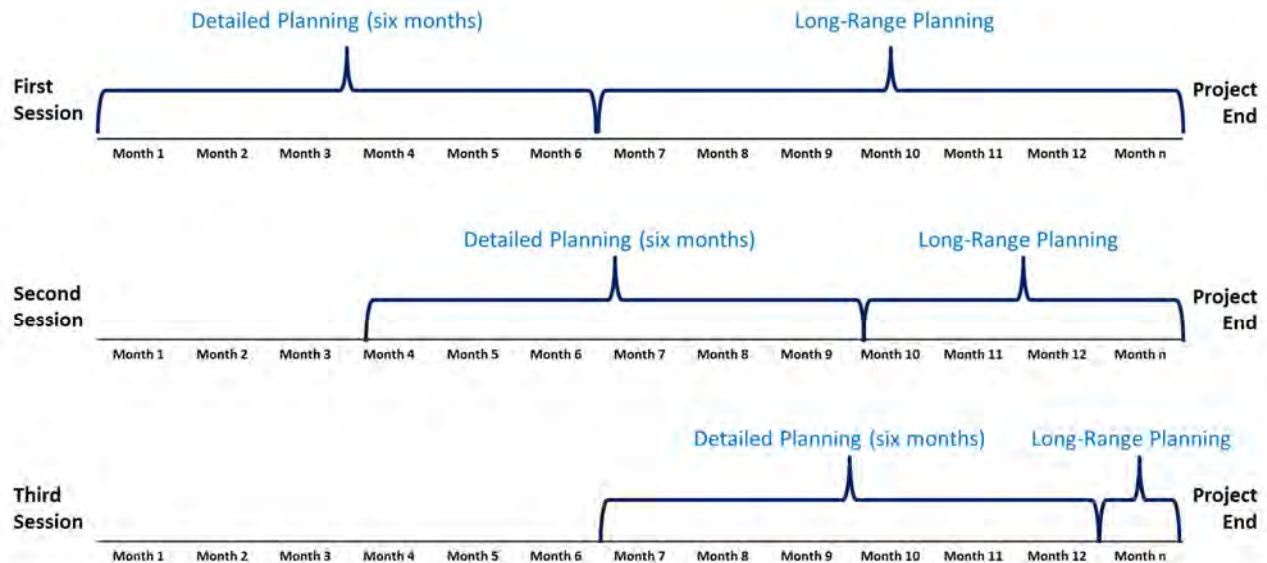
Two processes for updating the AgMPS have been identified:

- Rolling Wave Planning
- Weekly or Bi-weekly Schedule Updating dependent upon the established reporting cycle (see Section 0 Project Status Reporting)

### **6.6.1 Rolling Wave Planning**

It is not feasible to create accurate and detailed projections and estimates through the end of the multi-year AgCSS Project as work plans and schedules become unrealistic due to the ever-increasing uncertainty of the future. To avoid investing resources and time in creating plans with unrealistic detail, the concept of “rolling wave” planning was employed in developing the schedule. As is the standard in rolling wave planning, a top-down approach was used to assign WBS responsibility, budget, and duration to key organizational entities initially; however, the detail will not be created until the work is within a 6-month time frame. Work efforts with a duration of six months or less will be planned in their entirety, not using the rolling wave method.

The AgCSS PMO will manage rolling wave planning by scheduling the planning sessions and working with Schedule Coordinators individually, or in groups, as necessary, to define their projects' changes to current or new tasks, activities, and resources. The rolling wave approach will coordinate, document, and communicate inter-project resource and activity dependencies. The exhibit below depicts how the rolling wave approach moves the detailed planning horizon into the future.



### Exhibit 22: Rolling Wave Planning Iterations

Activities scheduled to begin in the upcoming six months are planned in detail (near-term planning), while activities scheduled to start beyond the horizon are planned with less precision (long-range, high-level planning). Each rolling wave begins with the planning of the work stream activities in near-term and long-range activities. The work stream activities are then consolidated and optimized for the AgCSS Project overall. The results of this optimization are captured in the AgMPS, baselines are updated, and the Project activities continue with their near-term plans. When the next planning date is reached, planning for the next iteration begins. Actual progress, change to project scope and/or budget, and status of project risks are all factored into that round of detailed and long-range planning.

Rolling wave planning is used to further define activities, schedules, project dependencies, and resource requirements for the AgCSS work streams. Each work stream produces artifacts reflecting its new high-level and detailed planning. For the AgCSS Project as a whole, the primary schedule planning artifact from the rolling wave planning process is the revised AgMPS.

The expected outputs of a rolling wave planning session include:

- 
- Updated Project Schedule, to include all near-term activities (with durations and dependencies)
  - Responsible Work Stream Lead for each activity
  - Resources (named individuals replacing the roles identified in high-level plans) allocated to the activities
  - Milestones that will be used to report progress over the near term
  - Updated task priorities
  - Documentation of inter-project dependencies
  - Documentation of external project dependencies
  - AgMPS baseline updated to include new activities (after initial baseline)

The minimum outputs are required for planning of activities beyond the planning horizon (high-level planning) include:

- Summary activities
- Kinds of resources (or roles) anticipated, and approximate quantities (may not have specific team members assigned)
- Anticipated external dependencies and dependencies between the work stream
- AgMPS baseline updated to include new activities

## 6.6.2 Project Schedule Updates

Per the reporting cycle established by the PMO/PPMO (See Section 0 Project Status Reporting), Work Stream Leads and/or Schedule Coordinators review all activities assigned to their supported teams and provide updated information to the AgCSS PMO for each scheduled activity. The updates take the form of determining actual start dates, actual finish dates, and the remaining number of days for activities in progress.

Each workstream lead will determine the method of schedule updates. The following two schedule update methods will be permitted on the AgCSS project:

- Synchronization of the AgMPS with JIRA
- Use of the AgMPS Look Ahead Report

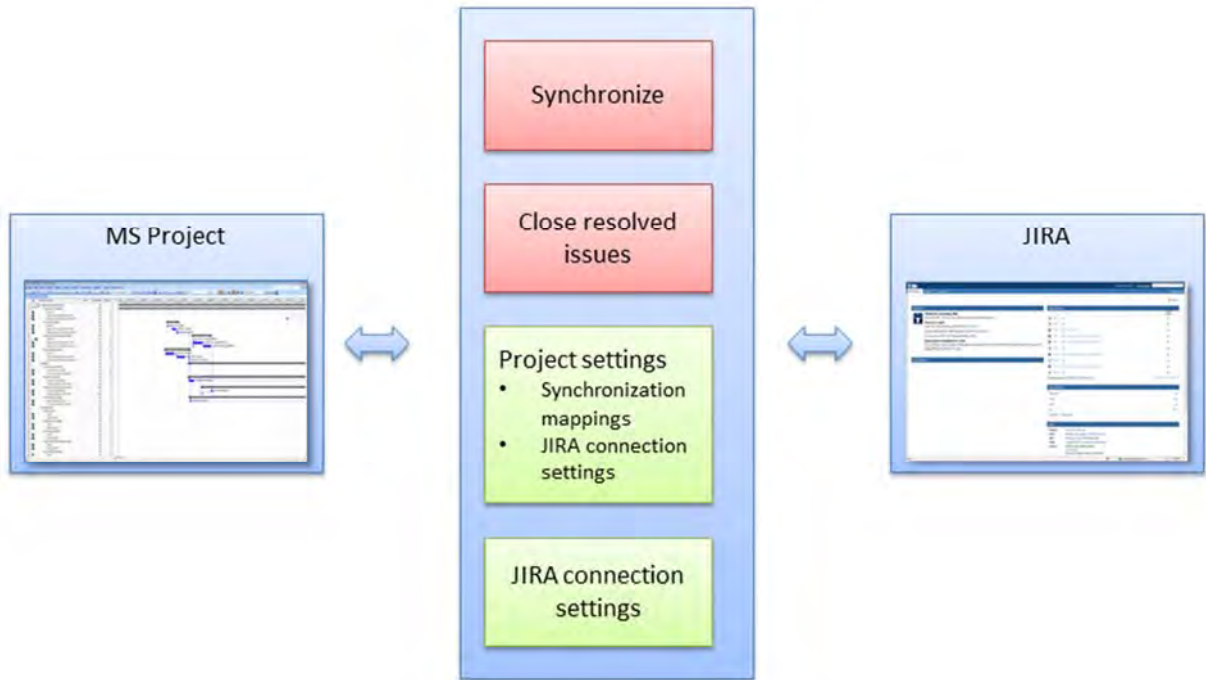
Each is described in the sections below.

### 6.6.2.1 Updates via Ceptah Bridge JIRA to AgMPS synchronization.

GCOM and other workstream leads may choose to execute work packages using JIRA, the AgCSS Project and Application Management Lifecycle System. JIRA enables the project team to quickly update task status

workflows aligned with project processes and to capture task level actual start and actual finish dates from executing project team resources, in near real time. For AgMPS tasks tracked in JIRA, we will use the Ceptah Bridge MS Project Plugin to synchronize actuals from JIRA to MS Project. The Ceptah Bridge will also be used to load activities from the MS Project Plan to JIRA.

The illustration below shows the blocks the Ceptah Bridge plugin consists of and the features it provides.



For tasks, activities, meetings, and deliverable tracked in the AgMPS, the following AgMPS fields will be synchronized with JIRA:

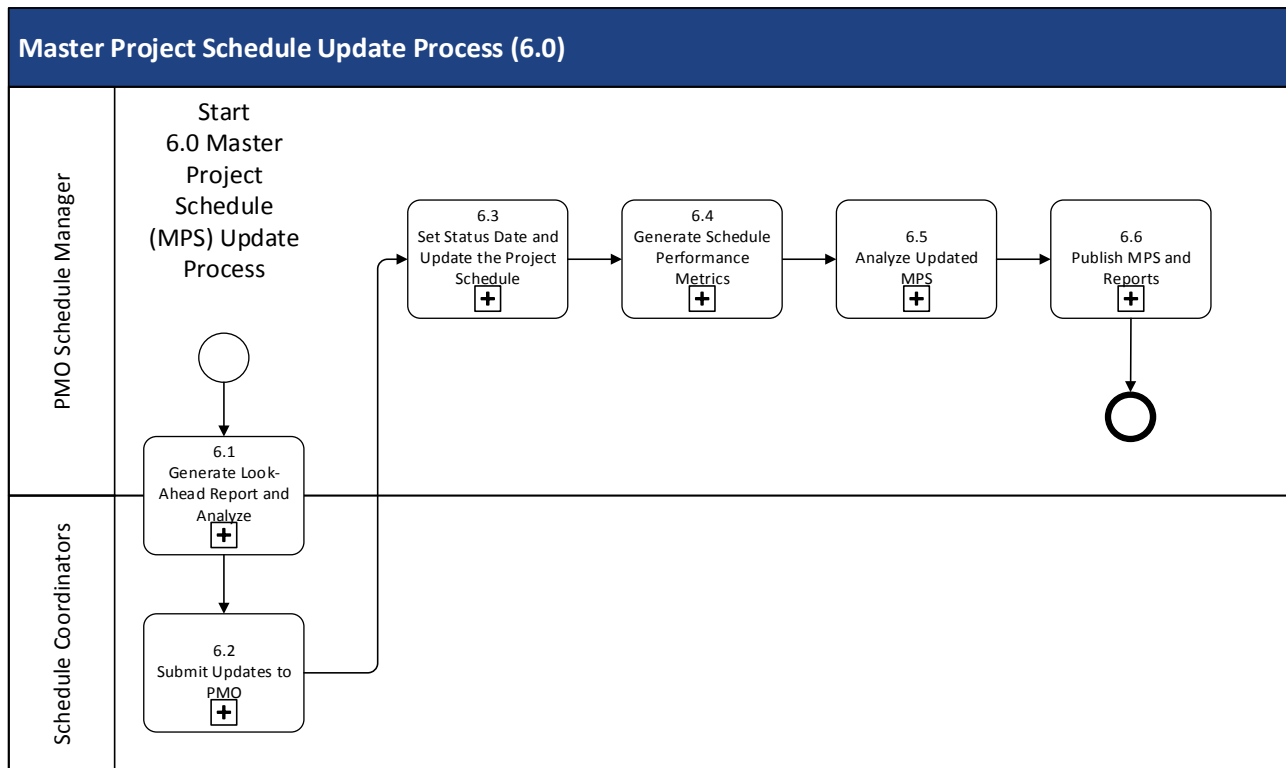
Microsoft Project	Integration Flow	JIRA
<b>JIRA ID</b>	From MSP to JIRA. Only updated on initial task load.	JIRA ID
<b>Task Name</b>	From MSP to JIRA. Only updated on initial task load.	Summary
<b>Issue Type (Text)</b>	From MSP to JIRA. Only updated on initial task load.	Issue Type
<b>Start</b>	Start Date	Planned Start
<b>Finish</b>	Due Date	Planned Finish
<b>Actual Start</b>	From JIRA to MSP	Actual Start
<b>Actual Finish</b>	From JIRA to MSP	Resolved
<b>Workstream (Text)</b>	From MSP to JIRA. Only updated on initial task load.	Workstream
<b>DDI Phase (Text)</b>	From MSP to JIRA. Only updated on initial task load.	DDI Phase

Microsoft Project	Integration Flow	JIRA
Release (Text)	From MSP to JIRA. Only updated on initial task load.	Release
Work	From MSP to JIRA. Only updated on initial task load.	Estimate
Planned Sprint (Text)	From MSP to JIRA on task load to JIRA. From JIRA to MSP on task updates.	Planned Sprint
Reporter (Text)	From MSP to JIRA. Only updated on initial task load.	Reporter
Owner (Text)	From MSP to JIRA. Only updated on initial task load.	Owner
Assignee (Text)	From MSP to JIRA on task load to JIRA. From JIRA to MSP on task updates.	Assignee
OwningOrg (Text)	From MSP to JIRA. Only updated on initial task load.	Owning Org
TaskType (Type)	From MSP to JIRA. Only updated on initial task load.	TaskType
Status (Text) (will be used to update % complete)	From JIRA to MSP	Status

Additional fields may be added to the JIRA AgMPS integration scheme by the GCOM PMO. The GCOM PMO or AgCSS will run the JIRA synchronization on no less than a weekly basis. Upon completed synchronization, the AgMPS status date and forward look ahead schedule will be updated and calculated accordingly.

### 6.6.2.2 Updates via Look-Ahead Report Updates

The second method for work stream schedule updates is the AgCSS Look Ahead Report as described in the figure below. Each reporting cycle the AgCSS PMO Project Schedule Manager will create a current state of each project team's tasks (Look-Ahead Report) and send to the teams' Schedule Coordinator. Schedule Coordinators will record the current status of tasks and submit back to the PMO to update the Master Project Schedule.



**Exhibit 23: Master Project Schedule Update Process**

The following table describes the processes depicted in the diagram above and provides the timeframe for each step.

SEQUENCE #	DESCRIPTION	ACTOR(S)	TIMING
6.1	<p><b>Generate Look-Ahead Report or run the JIRA Synchronization, and then Analyze</b></p> <p>- Using latest MPS version, generate the Look-Ahead Report (extract of tasks requiring updates as of the Tuesday date of current week and upcoming tasks within the next four (4) weeks).</p>	AgCSS PMO Schedule Manager	Monday to Wednesday

SEQUENCE #	DESCRIPTION	ACTOR(S)	TIMING
6.2	<p><b>Submit Updates to PMO - Provide end-of-week updates</b> (as of Tuesday) for tasks in the Look-Ahead Report to PMO Schedule Manager</p> <p>Alternately, GCOM can submit schedule updates via JIRA synchronization.</p>	Schedule Coordinators (Vendors, AgCSS PMO, and FDACS)	Wednesday by noon
6.3	<p><b>Update the AgMPS File – Set the Project Status Date and</b> Update the Master Project Schedule with the teams’ progress information</p>	AgCSS PMO Schedule Manager	Wednesday afternoon through Thursday
6.4	<p><b>Generate Schedule Performance Metrics</b></p>	AgCSS PMO Schedule Manager	Thursday
6.5	<p><b>Analyze Updated MPS - Analyze and discuss the updated schedule and develop status report</b></p>	AgCSS PMO Schedule Manager and PM, Vendor PM	Thursday
6.6	<p><b>Publish MPS and Reports:</b></p> <ul style="list-style-type: none"> <li>▪ Publish the updated MPS, the calculated metrics and accompanying analysis to summarize the status and the trends, any new impacts, and any corrective action plans (by Friday COB)</li> <li>▪ Publish the draft Weekly Status Report to attendees (Friday by noon)</li> <li>▪ Save the MPS file and create PDF version of the Master Schedule.</li> </ul>	AgCSS PMO Team and FDACS	Friday

### Exhibit 24: Master Project Schedule Updates – Look-Ahead-Report

Two methods/tools are used to provide schedule updates:

**The Look-Ahead Report** is a custom-developed tool produced each project status reporting cycle that allows the PMO Schedule Manager to present the Schedule Coordinators and any other interested project staff with the tasks planned to occur within the reporting week and the next 4 weeks. The MS Excel workbook is organized by tabs (worksheets), one tab for each Schedule Coordinator. The same workbook is also used by



the Schedule Coordinators to communicate back to the AgCSS PMO what progress has been made against the tasks as well as the Estimate to Complete (ETC) at the task level as follows.

AgCSS JIRA Synchronization. GCOM team members will status update schedule tasks in JIRA with actual start and actual finish dates. These dates will be synchronized with the AgMPS using the Ceptah Bridge Synchronization tool. Either GCOM or AgCSS PMO Staff can operate the interface to load actuals from JIRA to AgMPS.

Progress Percentages (for tasks that are NOT milestones) will be reported as:

- - 0%, Not Started
- - 25%, Task Started and < 50% complete based on effort (per team lead's judgment)
- - 50%, Task is => 50% and <75% complete based on effort (per team lead's judgment)
- - 75%, Task is => 75% and <100% complete based on effort (per team lead's judgment)
- - 100%, Task Complete

Progress Percentages (for milestones - zero-day duration tasks) will be reported as:

- - 0%, Milestone not achieved/reached
- - 100%, Milestone achieved/reached

The ETC is provided to the PMO Schedule Manager by either confirming/retaining the current planned finish date or by updating it with another future date value. This is also used by Schedule Coordinators to add activities, update resources and establish dependencies.

The following exhibit provides the definition of the report columns included in the Look-Ahead Report.

FIELD/COLUMN	DESCRIPTION	DISPLAY (D) / INPUT (I)	INPUT INSTRUCTIONS FOR THE SCHEDULE COORDINATORS
ID	This is the sequential line number of the task. It changes based on the task's line order in the MS Project file.	D	
UID	This is the Unique ID number associated with the task in the MS Project file. It is the permanent number assigned to a task.	D	
WBS#	This is the Work Breakdown Structure ID number of the task.	D	

FIELD/COLUMN	DESCRIPTION	DISPLAY (D) / INPUT (I)	INPUT INSTRUCTIONS FOR THE SCHEDULE COORDINATORS
Deliverable ID	This is the optionally assigned deliverable short identifier used to facilitate tracking and monitoring progress of deliverable tasks in the MPS. It is expected of the team owner to establish this identification method at the time the team schedule is provided to the PMO Schedule Manager to incorporate into the MPS.	D/I	Update only if needed according to the needs of the team owner.
Task Name	This is the task's text name.	D/I	Update only if task needs to be renamed.
Baseline Start Date	This is the task's original or current approved baseline start date.	D	
Baseline Finish Date	This is the task's original or current approved baseline finish date.	D	
Planned Start Date	This is the task's current planned start date.	D/I	Update only if task is planned to start on a different date in the future.
Planned Finish Date	This is the task's current planned finish date.	D/I	Update only if task is planned to finish on a different date in the future.
Actual Start Date	This is the task's actual start date. It shows "NA" if it has not been started.	D/I	Update only if task has started. It does not have to be the same date as the planned start date.
Actual Finish Date	This is the task's actual finish date. It shows "NA" if it has not been completed.	D/I	Update only if task has completed. It does not have to be the same date as the planned finish date.
Percent Complete	This is the percentage of the progress accomplished for the task, with regard to the effort.	D/I	Update only if the percentage of progress has changed.
Team Name	This is the assigned Team's identifier in the MPS, which allows the task to be associated to the team responsible for providing progress updates.	D	

FIELD/COLUMN	DESCRIPTION	DISPLAY (D) / INPUT (I)	INPUT INSTRUCTIONS FOR THE SCHEDULE COORDINATORS
Comments	This is a column provided for the Schedule Coordinator to include additional or clarifying information (free form) related to the updates being provided to the PMO Schedule Manager.	I	Update as needed.
Predecessor	This is the task's current predecessor value/s, which indicate/s the dependency relationship with other tasks in the MPS.	D/I	Update only if the task's dependencies have changed and the MPS needs to reflect that change. This can be provided as free-form statement. E.g., "Link to completion of UAT with a lag of 5 days"
Successor	This is the task's current successor value/s, which indicate/s how other tasks follow this task.	D	Do not update. This is updated automatically by MS Project for a task that is named as a predecessor of another task.
Work	This is the task's quantity of effort in hours. It is the cumulative hours assigned to the resources.	D/I	Update only as needed.
Duration	This is the task's identified/calculated number of workdays from start date to finish date. It updates to actual duration when the actual finish date has been set (when task completes).	D	
Resources	This is the task's assigned people resources.	D/I	Update only as needed.

**Exhibit 25: Look-Ahead-Report Data Definition table**

Provided below is a sample of the Look-Ahead Report:

ID	UID	WBS #	Deliverable ID	Task Name	Baseline Start Date	Baseline Finish Date	Planned Start Date	Planned Finish Date	Actual Start Date	Actual Finish Date	Percent Complete	Comments	Predecessor	Successor	Work	Duration	Resources
246	495	1.3.3.5.9	PMO-IAPOL	CHS Review and Approval of IAPOL Update	10/9/15	11/9/15	10/9/15	10/9/15	10/9/15	NA	50%		245	247,249	720 hrs	30 days	CHS
247	495	1.3.3.6		Ph II Task 2a Completed	10/9/15	10/9/15	10/9/15	10/9/15	10/9/15	NA	0%		246	250	0 hrs	0 days	
257	1794	1.3.4.2.2		Task 3.3. Solicitation CHS Approval Process 5	10/9/15	10/29/15	10/9/15	10/9/15	10/9/15	NA	75%		256	259	24 hrs	10 days	Tina Worley(101)La
258	1795	1.3.4.2.3		Task 3.3. Solicitation CHS Approval Process 6	10/29/15	10/9/15	10/9/15	10/9/15	NA	NA	0%		257	259	24 hrs	9 days	Tina Worley(101)La
259	1796	1.3.4.2.4		Task 3.3. Solicitation CHS Approval Process 7	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		258	260	24 hrs	8 days	Tina Worley(101)La
264	5962	1.5.11.1	Procurement	Conduct Group-A PMO Plans Update Develop	10/29/15	10/29/15	10/29/15	10/29/15	10/29/15	NA	25%		2450FS-8 day	262,267	49 hrs	10 days	Rob Bright(251)Dann
265	5961	1.5.11.2	Procurement	Conduct AHCA Validation of Group-A PMO PI	10/9/15	10/9/15	10/9/15	10/9/15	NA	NA	0%		264	269	66.5 hrs	9 days	Rob Bright(251)Dann
267	5965	1.5.12.1	Procurement	Conduct Group-B PMO Plans Development	10/9/15	10/9/15	10/9/15	10/9/15	NA	NA	0%		264	268	39.2 hrs	8 days	Rob Bright(251)Dann
269	5964	1.5.12.2	Procurement	Conduct AHCA Validation of Group-B PMO PI	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		267	269	5 hrs	5 days	Angela Ramsey(125)T
269	4848	1.5.12.3	Procurement	Publish Updated PMO Plans (Procurement L)	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		265,268	502,247,657	0 hrs	0 days	
520	5804	1.5.11.46		Issue/Action Item Management 45	10/9/15	10/29/15	10/9/15	10/29/15	10/9/15	NA	25%		548	550	10 hrs	5 days	Dianne Rodriguez(51)D
561	5805	1.5.11.46		Issue/Action Item Management 46	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		550	553	10 hrs	5 days	Dianne Rodriguez(51)D
562	5806	1.5.11.47		Issue/Action Item Management 47	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		551	553	10 hrs	5 days	Dianne Rodriguez(51)D
563	5807	1.5.11.48		Issue/Action Item Management 48	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		552	554	8 hrs	4 days	Dianne Rodriguez(51)D
564	5808	1.5.11.48		Issue/Action Item Management 49	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		553	556	6 hrs	5 days	Dianne Rodriguez(51)D
565	5809	1.5.11.50		Issue/Action Item Management 50	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		554	556	6 hrs	3 days	Dianne Rodriguez(51)D
610	5821	1.5.12.45		Risk Management 45	10/9/15	10/29/15	10/9/15	10/29/15	10/9/15	NA	25%		609	611	10 hrs	5 days	Dianne Rodriguez(51)D
611	5822	1.5.12.46		Risk Management 46	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		610	612	10 hrs	5 days	Dianne Rodriguez(51)D
612	5823	1.5.12.47		Risk Management 47	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		611	613	10 hrs	5 days	Dianne Rodriguez(51)D
613	5824	1.5.12.48		Risk Management 48	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		612	614	10 hrs	4 days	Dianne Rodriguez(51)D
614	5825	1.5.12.49		Risk Management 49	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		613	615	10 hrs	5 days	Dianne Rodriguez(51)D
615	5826	1.5.12.50		Risk Management 50	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		614	616	6 hrs	3 days	Dianne Rodriguez(51)D
670	5838	1.5.13.45		Schedule Management 45	10/9/15	10/29/15	10/9/15	10/29/15	10/9/15	NA	25%		669	671	10 hrs	5 days	Dianne Rodriguez(51)D
671	5839	1.5.13.46		Schedule Management 46	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		670	672	10 hrs	5 days	Dianne Rodriguez(51)D
672	5840	1.5.13.47		Schedule Management 47	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		671	673	10 hrs	5 days	Dianne Rodriguez(51)D
673	5841	1.5.13.48		Schedule Management 48	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		672	674	9 hrs	4 days	Dianne Rodriguez(51)D
674	5842	1.5.13.49		Schedule Management 49	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		673	675	10 hrs	5 days	Dianne Rodriguez(51)D
675	5843	1.5.13.50		Schedule Management 50	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		674	676	6 hrs	3 days	Dianne Rodriguez(51)D
730	5865	1.5.14.45		Scope Change Management 45	10/9/15	10/29/15	10/9/15	10/29/15	10/9/15	NA	25%		729	731	10 hrs	5 days	Dianne Rodriguez(51)D
731	5866	1.5.14.46		Scope Change Management 46	10/29/15	10/29/15	10/29/15	10/29/15	NA	NA	0%		730	732	10 hrs	5 days	Dianne Rodriguez(51)D
732	5867	1.5.14.47		Scope Change Management 47	10/9/15	10/29/15	10/9/15	10/29/15	NA	NA	0%		731	733	10 hrs	5 days	Dianne Rodriguez(51)D

### Exhibit 26: Look-Ahead-Report Sample

#### 6.6.3 Schedule Update QA and Best Practice Check

Upon completion of the status updates, and at any other point in which major updates are made to the schedule, the AgCSS PMO will conduct a basic QA check of the schedule. The schedule must be evaluated on a periodic basis to ensure the project schedule meets expected standards. Examples of checklist items include:

- Status date is set on project schedule after each status reporting update cycle.
- All tasks have a baseline established.
- Tasks must not have a negative total slack.
- Task and Milestone descriptions are complete enough to describe the work being scheduled.

Schedule analysis will be performed on the AgMPS on a monthly basis. Updates to AgMPS will be made to AgMPS based on results provided in the schedule analysis report.

#### 6.7 Schedule Performance Reporting

Using information from the AgMPS, the AgCSS PMO provides schedule progress reports to individual Schedule Coordinators, managers, and directors, responsible for project activities. Below is the list of reports:

- Critical Path Report – Identifies the status of each task on the critical path
- Section Coordinator Status Report – Identifies scheduled tasks for the next 20 business days by section (Look-Ahead Report)
- Delayed Task Report – Lists delayed tasks and identifies if the task is on the critical path

- Resource Utilization Report – Identifies the resource utilization within the project schedule and highlights those resources that are under or over allocated
- Earned Value Report – Shows the results of earned value analysis at a project level for input to the project status reports (provided in the weekly/bi-weekly status reports, and monthly status reports)

These reports are the basis for schedule progress and performance discussions in the following regularly scheduled meetings:

- Individual Teams
- Project Status Meetings (See Section 0 Project Status Reporting)
- Monthly IT Governance Team Meeting
- Monthly IV&V Assessment Reports
- Quarterly Oversight Meetings

For status meetings, the vendor(s) will also provide schedule management reports, as defined in the Project Status Reporting section. These provide the basis for overall schedule performance reviews in these meetings. Additionally, the PPMO Manager and FDACS AgCSS Project Manager will be responsible for reporting updates for the IT Governance meetings.

## 6.8 Schedule Analysis

AgCSS employs the Critical Path Method (CPM) to predict project duration by analyzing which sequence of activities has the least amount of scheduling flexibility (the least amount of float). This analysis will review the schedule to see if or how the critical path is changed and to see if a change to one activity has impacted (either positively or negatively) a dependent activity or resource.

The Project uses the following schedule control metrics:

- Schedule Performance Index (SPI) – Defined by the PMBOK® Guide as “a measure of schedule efficiency expressed as the ratio of earned value to planned value.”
- Planned Value (PV): Planned Value is the planned spend for the planned work. It is the authorized budget assigned to the work to be accomplished for an activity or work breakdown structure component.
- Earned Value (EV): Earned Value is the value of work performed expressed in terms of the approved budget assigned to that work for an activity or WBS component.
- Schedule Variance (SV) is the measure of schedule performance of the project. It is the difference of Earned Value and the Planned Value (i.e.,  $SV = EV - PV$ ).

The SPI value compares Earned Value with Planned Value as shown in the following table.

<b>SPI &gt; 1</b>	<b>SPI = 1</b>	<b>SPI &lt; 1</b>
Ahead of Schedule	On Schedule	Behind Schedule
EV > PV	EV = PV	EV < PV

### **Exhibit 27: Schedule Performance Index**

The exhibit below describes schedule control and variance thresholds:

<b>PERFORMANCE MEASURE</b>	<b>CONTROL THRESHOLD</b>	<b>VARIANCE THRESHOLD</b>
Schedule Performance Index (SPI)	Below 0.9 or above 1.1	Greater than 0.1
Schedule Variance (SV)	Positive value is ahead of schedule Negative value is behind schedule	0 or greater

### **Exhibit 28: Project Schedule Thresholds**

#### **6.8.1 Critical Path Analysis**

The critical path, as calculated by MS Project Professional 2013, is the longest continuous path of activities with zero or negative float through a project. The duration of the activities on the critical path controls the duration of the entire project. A delay to any of these activities will delay the finish date of the entire project.

The AgCSS PMO is responsible for monitoring the critical path and reporting critical path status after each status update, and when analysis of change requests indicates that the critical path is impacted or in danger of being impacted.

#### **6.8.2 Schedule Variance**

Schedule baselines are used both for analyzing project progress at a summary level, and for analyzing schedule variance for individual activities. The status of AgMPS management milestones is analyzed and reviewed each reporting period (see Section 0 Project Status Reporting) with the AgCSS Project Manager/PPMO Manager.

Variances between baseline and actual start/finish dates for individual activities in AgMPS activities are monitored by the PMT, the activities' responsible Work Stream Lead and Schedule Coordinator.

Standard schedule variance analysis will be conducted against the Baseline fields in AgCSS Project Schedule.

### 6.8.3 Cross-Schedule Impacts

Because detailed schedules for AgCSS are integrated across all schedules, only the AgMPS provides a view of cross-schedule impacts. After the project schedule updates (cycle established by PPMO), the AgCSS PMO analyzes the AgMPS to identify cross-schedule and resource impacts and communicates them to the AgCSS Schedule Coordinators.

## 7 Cost Management Plan

The purpose of cost management is to help ensure FDACS will complete the AgCSS Project within budget. This Cost Management Plan identifies the processes and procedures used to manage costs throughout the Project’s life cycle. The plan covers the cost management approach, expenditure tracking, variance analysis, oversight of costs, and reconciliation between the State budget, accounting, and project management cost processes.

Additionally, the plan covers who is responsible for tracking expenditures, how variances will be addressed, and the cost tracking and reconciliation between the State and project management cost processes. This plan also describes the cost management tool used.

### 7.1 Cost Management Planning

The cost management planning activity begins early in the project planning process and sets the framework for each of the cost management processes so performance of the processes will be efficient, coordinated and available for reporting.

The Cost Management Plan covers the two primary areas of cost management: Budget and Accounting, and Project Cost Management. Budget and Accounting encompasses the tracking of budget, expenditures, salary and benefits, and overhead costs in accordance with the normal State of Florida budget process. Project Cost Management is the project-management level of tracking costs against work performed in accordance with the standards and practices derived from the Project Management Institute’s Project Management Body of Knowledge (PMBOK®). The exhibit below shows the differences in terminologies used in the Cost Management Plan when discussing the two different areas.

BUDGET & ACCOUNTING	PROJECT COST MANAGEMENT
State Budget Planning	Cost Planning
Expenditure Reports and Metrics	Cost Tracking, Reporting and Metrics
Changes to the Budget	Cost Control and Changes
Budget Reconciliation	Cost Closeout

**Exhibit 29: Cost Management Areas**

As part of the Project Management Plan, a subordinate Cost Management Plan has been developed to outline the processes used to plan and manage costs for the AgCSS Project.





**Exhibit 30: Cost Management Activities**

Cost Management consists of the cost estimation, budget determination, and cost control measures employed to execute cost responsibility for the Project. As shown in the exhibit above, the primary cost activities for this project include:

- Estimate Costs: The process of developing an approximation of the monetary resources needed to complete project activities.
- Determine Budget: The process of aggregating the estimated costs of individual activities or work packages to establish an authorized cost baseline.
- Control Costs: The process of monitoring the status of the project to update the project budget and managing changes to the cost baseline.

**7.2 Roles and Responsibilities**

The table below describes the cost management roles and associated responsibilities.

ROLE	RESPONSIBILITY
Executive Office of the Governor	<ul style="list-style-type: none"> <li>▪ Provides instructions to state agencies for developing their budget requests</li> <li>▪ Develops state budget recommendation based on Legislative Budget Requests (LBRs) submitted by the department</li> <li>▪ Submits state budget recommendation at least 30 days prior to the beginning of the legislative session</li> <li>▪ Reviews and approves state budget</li> </ul>
Florida State Legislature	<ul style="list-style-type: none"> <li>▪ Provides instructions to state agencies for developing their budget requests</li> <li>▪ Appropriations committees review presentations during Interim Legislative Committee meetings prior to legislative session</li> <li>▪ Develops, reviews and approves overall state budget</li> </ul>
Agency for State Technology (AST)	<ul style="list-style-type: none"> <li>▪ Reports to the Executive Office of the Governor, the President of the Senate, and the Speaker of the House of Representatives at least quarterly when the project exceeds acceptable variance ranges</li> </ul>
Department of Financial Services	<ul style="list-style-type: none"> <li>▪ Processes invoices for payment</li> <li>▪ Audits invoices and contract management effectiveness</li> </ul>

ROLE	RESPONSIBILITY
IT Governance Team	<ul style="list-style-type: none"> <li>▪ Provides input and direction on Project budget and cost planning</li> <li>▪ Reviews and approves budget/cost changes</li> </ul>
Executive Sponsor	<ul style="list-style-type: none"> <li>▪ Reviews and approves budget/cost changes</li> <li>▪ Ensures that the AgCSS PMO Team follows the Project Risks, Issues, Actions, and Decisions procedures described for cost management</li> <li>▪ Facilitates change requests</li> <li>▪ Facilitates impact assessments of change requests</li> </ul>
FDACS AgCSS Project Manager  (Includes GCOM Project Manager for GCOM delivered services.)	<ul style="list-style-type: none"> <li>▪ Ensures that the AgCSS PMO Team follows the Project Risks, Issues, Actions, and Decisions procedures described for cost management</li> <li>▪ Facilitates change requests</li> <li>▪ Facilitates impact assessments of change requests</li> <li>▪ Ensures cost changes align with appropriate FFP (Firm Fixed Price) rates</li> <li>▪ Supports Project budget planning and tracking</li> </ul>
PPMO Manager	<ul style="list-style-type: none"> <li>▪ Estimates cost</li> <li>▪ Allocates costs to project activities</li> <li>▪ Determines Project budget</li> <li>▪ Approves the staffing budget</li> <li>▪ Manages cost tracking, budget reporting, and budget changes</li> <li>▪ Monitors and controls Project costs</li> <li>▪ Evaluates cost performance against cost baseline and manages cost baseline changes throughout the Project</li> <li>▪ Closes out Project budget at the conclusion of the AgCSS Project</li> </ul>
Change Control Board	<ul style="list-style-type: none"> <li>▪ Deliberates on escalated scope issues and makes recommendations to the FDACS Project Management Lead</li> <li>▪ Reviews and recommends approval of changes requested consistent with escalation criteria</li> </ul>
Project Risks, Issues, Actions Items and Decisions Team <ul style="list-style-type: none"> <li>▪ FDACS AgCSS Project Manager</li> <li>▪ PPMO Manager</li> <li>▪ Vendor Teams' Project Managers</li> <li>▪ AgCSS Contract Manager(s)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Follows the processes and procedures described for cost management</li> <li>▪ Reviews the WBS regularly and ensures that no cost changes have occurred without following the change control process</li> </ul>

ROLE	RESPONSIBILITY
AgCSS Contract Manager	<ul style="list-style-type: none"> <li>▪ Approves activities and changes based on Project budget and vendor contract guidelines</li> <li>▪ Reports approved invoice amounts for each deliverable</li> <li>▪ Closes out Project contract at the conclusion of the AgCSS Project</li> <li>▪ Develops and routes budget and contract amendments related to the Systems Integrator or other contractors</li> <li>▪ Manages payment of approved deliverable invoices</li> </ul>

### Exhibit 31: Project Cost Management Roles and Responsibilities

## 7.3 Budget and Accounting Approach

The Project budget was determined by consideration of the necessary cost expenditures and acceptable spending parameters. The final budget determination is subject to the executive sponsorship approval based on a rigorous cost-benefit analysis.

The budget incorporates the cost estimates activities and establishes a cost performance baseline that will be used to evaluate project costs throughout the AgCSS Project. Costs included in the Project are only those associated with project costs and will be tied to the financial system through the code or chart of accounts that are assigned to the Project at the work package level or to cost control accounts in the WBS. Once established, the budget will be used as a plan for allocating costs to project activities.

The following sections summarize the project’s budget and accounting approach, and describe the high-level processes and interaction of participants.

- Step 1 – Expenditure Reports and Metrics
- Step 2 – Changes to the Budget
- Step 3 – Budget Reconciliation

### 7.3.1 Expenditure Reports and Metrics

The AgCSS Project Management Team will continuously track project costs throughout the Project by monitoring and controlling project spending based on the AgCSS project budget. Expenditure reports and cost management metrics will be used to review spending and evaluate project expenditures against project cost baselines.

#### 7.3.1.1 Project Spending Plan

The Project Spending Plan, as part of the overall Operational Work Plan (Project Management Plan), is a legislative requirement mandated in Senate Bill 2500-A, which states the purpose of the plan is to describe

how the department will resolve any deficiencies identified in the comprehensive baseline assessment of all deliverables completed for the AgCSS Project.

The Project Spending Plan contains an accounting for the planned and actual expenditures for the planning, procurement, design and development, implementation and post-implementation phases of the AgCSS Project. The workbook contains a worksheet for each state fiscal year of these phases. Each year is broken down by twelve months with the planned and actual amounts for each payment and the variance accounted for at the end of the fiscal year. Only the payment amounts that apply to a fiscal year are represented.

The PPMO Manager and AgCSS Project Manager update the Project Spending Plan monthly (or as needed) with actual expenditures provided by the Office of Policy and Budget.

### **7.3.1.2 Monthly Status Report**

The Project's comprehensive Monthly Status Report contains a Monthly Budget Analysis that tracks budget expenditures to actual expenditures for department staff and each of the project contractors. The budget amounts cover current year appropriations as well as out-year projections.

Two key metrics included in the Monthly Budget Analysis are:

- Actual-to-Planned Expenditure Ratio – This measure is the percentage of actual expenditures to the amount budgeted (planned) for the time period. The PMO is required to provide a justification for any actual expenditure amount over/under the planned expenditure amount.
- Estimate at Completion (EAC) – This measure provides the forecasted value of the project or work stream upon its completion. EAC is used as a forecasting tool to provide an early indication as to the total cost the project may take to complete.

The FDACS PPMO Manager and AgCSS Contract Manager are responsible for providing budget and expenditure updates, which include revised budget and actual costs, to the Director of Policy and Budget on a quarterly basis.

### **7.3.1.3 Schedule IV-B**

The Schedule IV-B is a feasibility study required by the State for all IT projects with a total cost of \$1 million or more. The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the narrative submitted with the Department's Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the Agency during the initiation and planning phases of the proposed IT project.

The type and complexity of an IT project determines the level of detail the Agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4)(a)10, F.S. is also required if the total cost for all years of the project is \$10 million or more.

Information contained in the Project Spending Plan is used to populate the cost related sections of the Schedule IV-B. Schedule IV-B is due to the Office of Policy and Budget by mid-September of each year unless the Legislative session is scheduled early; in that case, it is due by mid-August.

#### **7.3.1.4 Quarterly Project Status Report**

At the end of each calendar quarter, the AgCSS PMO prepare a summary report that provides a high-level description of the progress of the FDACS project. The purpose of the report is to keep executive staff informed of the state of the Project over the lifetime of the procurement and implementation. Distribution is internal to the department executives and legislative staff.

The Quarterly Project Report provides executives associated with the Project a snapshot in time of the project status and progress being made to achieve the goals of the Project.

#### **7.3.2 Changes to the Budget**

The budget change control process will follow the established project change request process described in the Scope Change Management Plan. Project budget needs are adjusted primarily due to changes in the

project schedule. These changes are tracked to the state funding cycle. Approvals for project budget/cost changes must be approved by the Executive Project Sponsor and /or the IT Governance Committee.

If there is a major change in total project cost or in how the estimated costs will be incurred over the life of the Project, the Project budget is revised. If the revision coincides with a contract amendment, the contract amendment is forwarded to the IT Governance Team for their review and approval, as in most cases, budget revisions impact FFP (Firm Fixed Price).

### **7.3.3 Budget Reconciliation**

The project budget is reconciled on an annual basis. During May through June of the prior state fiscal year (FY), budget staff develops surplus and deficit estimates for the Project. Any identified surplus funds are used to cover anticipated deficit areas to the extent allowable. Budget staff also estimate outstanding expenditures that will be paid in the next FY. Remaining surplus funds are then Certified Forward (CF) to pay these expenditures after July 1 (beginning of FY) and by August 30th.

After July 1, contracts and expenditures can be encumbered/expensed against the current FY budget. Expenditures from prior year dates-of-service are paid with CF funds from the prior FY surplus. If prior year expenditures exceed CF funds, the expenditure is paid out of current FY funds.

## **7.4 Cost Management Activities**

Effective cost management requires project resources (i.e., both State and contractor) to assist in establishing and managing the total cost of ownership of the Project. This includes measuring actual spending against the planned budget for the following items:

- Department project team staff and all of their associated costs
- Contractor contracts
- External resources/contractors
- Training costs
- Software and hardware

The following sections summarize the Project's cost management approach, and describe the high-level processes and interaction of participants:

- Cost Planning
- Resource Planning
- Cost Estimating
- Cost Tracking

- Cost Reporting and Metrics
- Cost Control and Changes
- Cost Closeout

### 7.4.1 Cost Planning

A “bottom-up” approach is used for preparing a detailed cost estimate of each cost component involved with each project activity. These cost components include:

#### Internal

- State project management/project team resources
- Recruiting and hiring for additional staffing
- Office space and facilities
- Hardware
- Licensing
- Software as a Service (SaaS) fees (e.g., system maintenance and upgrades)

#### External

- Contractor contract costs

Costs estimates are prepared using the best information available at the time of estimation. The basis for the estimate will be fully documented so that if better information becomes available later on in the Project, the cost estimate can be adjusted.

#### 7.4.1.1 Resource Planning

Upon determining project needs, the project team finalizes the resource and staffing requirements necessary for the successful completion of the project. The FDACS PPMO Manager and AgCSS PMO Project Manager complete the internal and external Work Breakdown Structure (WBS), respectively. The WBS for external project costs is deliverable-based.

#### 7.4.1.2 Cost Estimating

The Cost Estimating process establishes a cost estimate for the project resources (human and material) necessary for each project schedule activity. The cost estimation activity includes all the estimated costs of the Project for the entire project life cycle, and cost estimates will be refined over the course of the Project to reflect additional information as it becomes available.

Based on the labor costs and planned duration of each WBS element, each contractor develops a total estimate for their scope of services. These total estimates are reviewed by the FDACS PPMO Manager and FDACS PMO Manager and validated against the overall project budget.

Cost estimates from contractors are subject to the competitive bid process. Adjustments to the estimates may be requested from the vendors during the contract negotiation process as necessary to comply with the project budget or adjust to changes in scope.

### **7.4.1.3 Establishing the Cost Baseline**

Once all estimates and allocations have been reviewed and approved by the FDACS PPMO Manager, the project budget is baselined in the AgCSS Spending Plan. Beginning with the preliminary cost estimates, contractors develop updated cost estimates as necessary to perform their work as schedule revisions are made. For fixed price contracts, contract amendments are required to change the contracted amount for vendor services.

The project budget baseline may only be changed with authorization by the Executive Project Sponsor and/or IT Governance Committee. Scope changes that result in a need to update the project budget baseline necessitate a contract amendment, which must be reviewed and approved by the Executive Project Sponsor and/or the IT Governance Committee.

### **7.4.2 Cost Tracking**

Cost are both fixed rate (staff augmentation) and fixed price (deliverable-based) and are measured by progress made toward the completion of each deliverable described in their respective statements of work. This information is monitored by each vendor within their respective spend plans.

Contractor costs are recorded in invoices provided to the State. Contractors are required to submit completed invoices to the Department's Contract Manager no later than fifteen days after acceptance of the deliverable. They include:

- Documentation detailing deliverables completed and/or services rendered/covered by the invoice;
- Time period in which the deliverables were completed and/or services rendered;
- Other supporting documentation as requested by the Department to support the charges.

Invoice information is consolidated and tracked by the Department in the AgCSS Spending Plan. Any additional expenditures against the Project are provided by the Office of Policy and Budget for inclusion into the AgCSS Spending Plan.

As needed, the Department requests release of funding for the next quarter by providing the Quarterly Status Report and accompanied by the AgCSS Project Spending Plan that includes expenditures to date along with the forecast for expenditures in the subsequent quarter. This request is in the form of an amendment



submitted prior to the next quarter as outlined in the proviso for the Project. The Department may submit additional release requests at any time during the fiscal year.

### 7.4.3 Cost Reporting and Metrics

Cost management metrics are included in the Project Status Report. All cost variances outside of the thresholds identified in this Cost Management Plan are monitored along with any planned corrective actions. Change requests triggered by project cost overruns are identified and tracked in the Monthly Status Report.

#### *Project Control Metrics*

The Project uses the following cost control metrics:

- Schedule Performance Index (SPI) – Defined by the PMBOK® Guide as “a measure of schedule efficiency expressed as the ratio of earned value to planned value”;
- Cost Performance Index (CPI) – Defined by the PMBOK® Guide as “a measure of the cost efficiency of budgeted resources, expressed as a ratio of earned value to actual cost”;
- Actual Cost (AC) – The total cost actually incurred in completing work performed for an activity or work breakdown structure component;
- Cost Variance (CV) – the measure of project cost performance ( $CV = EV - AC$ ).

Both controls are elements of Earned Value Management (EVM).

If the Project reaches a control threshold for either SPI or CPI, or if SPI or CPI reaches a variance threshold between reporting periods, the FDACS AgCSS Project Manager reports to the PPMO the reason for the exception and provides a corrective action plan to bring the performance measures back to acceptable levels.

The CPI value compares Earned Value with Actual Cost as shown in the following table. The CPI value will be based on percent complete, not actual work hours.

CPI > 1	CPI = 1	CPI < 1
Under Budget	On Budget	Over Budget
$EV > AC$	$EV = AC$	$EV < AC$

#### **Exhibit 32: Cost Performance Index**

The exhibit below describes the SPI, CPI, and CV control and variance thresholds.

PERFORMANCE MEASURE	CONTROL THRESHOLD	VARIANCE THRESHOLD
Schedule Performance Index (SPI)	Below 0.9 or above 1.1	Greater than 0.1
Cost Performance Index (CPI)	Below 0.9 or above 1.1	Greater than 0.1
Cost Variance (CV)	Positive value is under budget Negative value is over budget	0 or greater

**Exhibit 33: Project Control Thresholds**

### Cost Variance Corrective Action Plan

Often performance measurements that exceed the control and or variance thresholds are anticipated by the project team and will resolve themselves in the next reporting cycle without requiring a corrective action. The cost variance corrective action plan details the actions necessary to bring the project back within budget and the means by which the effectiveness of the actions in the plan will be measured. If the corrective actions to be taken result in a change, the Project’s overall change control process must be followed.

The FDACS AgCSS Project Manager and PPMO Manager will present the Executive Project Sponsor with options for corrective actions. Once the Executive Sponsor selects an option, the FDACS PPMO Manager presents the Executive Project Sponsor with the chosen cost variance corrective action plan. Upon acceptance, the cost variance corrective action becomes a part of the project schedule, which is updated to reflect the corrective actions.

### 7.4.4 Cost Control and Changes

The cost change control process will follow the established project change request process described in the Scope Change Management Plan. Approvals for project budget/cost changes must be approved by the Executive Project Sponsor and/or IT Governance Committee. A summarization of the change control process is described in **Section 7.3.2 – Changes to the Budget**.

### 7.4.5 Cost Closeout

At the end of the Project, the historical cost information is compiled by the AgCSS PMO and PPMO as part of the Project Closeout Report. This information includes a final summary of the costs expended against the baseline for the Project in its entirety.

Lessons learned related to costs and cost estimation are compiled by the AgCSS Project Manager and submitted for review to the FDACS PPMO Manager as part of the Lessons Learned Report. Cost management lessons learned will be used in the development of subsequent project fiscal year cost baselines.

At the conclusion of Project DDI activities, the contract is “closed out”.

## 8 Quality Management Plan

The quality and process performance objectives for this Project are to deliver value to the department and the State of Florida by completing the project on time, on budget, within scope and with a high-quality solution as follows:

OBJECTIVE	DESCRIPTION
On Time	Project outcomes are delivered to FDACS on the dates agreed in the schedule and contracts
On Budget	Overall project costs will not exceed the agreed budget in the contracts
Within Scope	Agreed-upon requirements are delivered
High Quality	Solutions delivered will meet the agreed-upon requirements and will have the necessary quality to provide value to FDACS

### Exhibit 34: Project Quality and Performance Objectives

The Quality Management Plan identifies the specific processes, procedures, standards, and tools to monitor the quality of work delivered and to communicate these concepts across the AgCSS Project Team. It outlines quality activities promoting adherence to the standards and processes defined for AgCSS so the Project meets its objectives and expectations throughout its life cycle. This plan also describes the responsibilities and authority for accomplishing quality activities and identifies the required coordination of quality management with other areas of the Project.

#### 8.1 Project Quality Life Cycle and Activities

The quality lifecycle includes a series of recurring activities grouped into the following categories:

- Quality Planning – Identify quality management activities and performance metrics that will assist the project team in delivering a high-quality product, on time and within the provided budget.
- Measure and Assess Quality – tasks and activities used to measure quality and assess positive and/or negative impact on project/product goals and objectives.
- Address and Share Quality Findings - reporting mechanism to share quality assessment finding with project team members and stakeholders to facilitate positive delivery trends and outcomes as a results of quality findings.

The table below describes the quality activities expected to be performed on the AgCSS Design, Development and Implementation by the Project Manager(s) and the Work Stream Leads.

Quality Phase	Tasks and Activities	Frequency	Method
<b>Planning</b>	Quarterly GCOM Corporate Partner Review schedule	Schedule is part of Rolling Wave Plan	Quarterly, Tracked in Project Plan and JIRA
	Lesson Learned Process and Procedures, Schedule	Schedule is part of Rolling Wave Plan. Processes and Procedures are incorporated herein in Section 17: Lessons Learned	End of Phase, Tracked in JIRA
	Compliance Log Processes, Tools and Procedures	Part of Rolling Wave Plan, Processes and Procedures are in the D11 Development and Unit Standards Deliverable	Real Time via JIRA issue tracking and configuration audit checklist (to be developed). Note: To be implemented in Design Phase
	Software Test Management Processes and Procedures, Metrics	To be defined as part of D13 Master Test Plan	Real Time, Tracked in JIRA
	AgCSS Project Artifact File Management Standards and Procedures	Incorporated herein, Section 20 Document Management	Continuous
	GCOM Corporate Solution Architecture Review Schedule	Part of Rolling Wave Plan	Key solution design and development milestones to be identified in the DDI Schedule.
	DDI Work Lead(s) Configuration Audit Schedule, Processes and Procedures	Part of Rolling Wave, Processes and Procedure Documented in the	Bi-Weekly during the development phase. Audits of documentation file storage and naming conventions occur bi-weekly.
	COTS Product Vendor Architecture and Configuration Audit Schedule	Part of Rolling Wave Plan	Performed quarterly during the Release design and development execution.
	Project Team Training Schedule	Part of Rolling Wave Plan	Project team training activities are incorporated in the DDI Project Plan. Team training usually occurs at the start of each DDI Phase. Team training typically includes DDI and Client Staff.
<b>Measure and Assess Quality</b>	Percent of Planned Quality Management Completed	Monitor quality activities scheduled in the DDI Schedule and/or JIRA. Includes completion of checklist document or compliance tickets raised in JIRA.	Schedule and work item metrics measured in either the DDI Schedule or JIRA
	Percent of Compliance Items Closed	Percent of finding from quality activities closed.	JIRA or checklist tracking.
	Compliance Item Density	Trends root causes of cost of quality issues with objective of identifying recurring	JIRA or checklist tracking.

Quality Phase	Tasks and Activities	Frequency	Method
		trends for process remediation	
	Lesson Learned Log	Capturing of lessons learned throughout the period of performance. Number of lessons learned captured in the past 30 days.	JIRA Lesson Learned Log
<b>Address and Share Quality Findings</b>	Monthly/Sprint publication of quality activities and assessment reports.	Yes/No	Documentation or JIRA Logs provided to the PMO(s)
	Lessons Learned are being communicated to the project team.	Yes/No	Evidence of Email Communications
	Project Team Training	Yes/No	Evidence of Project Team Processes and Procedure Training.
	Project Team Level Training on recurring quality assessment findings	Yes/No	Evidence of Team Training and/or update project processes.

## 8.2 Roles and Responsibilities

The various roles involved in the performance management process for the AgCSS Project are briefly described below. Further details on the responsibilities are elaborated in the subsequent sections.

ROLE	RESPONSIBILITY
Project Manager(s)	<ul style="list-style-type: none"> <li>The Project Manager is responsible for identifying, referring, and providing recommended information/data regarding performance metrics.</li> </ul>
Work Stream Leads	<ul style="list-style-type: none"> <li>The Work Stream Leads are responsible for the planning, analysis, development, implementation, execution, and maintenance of process quality activities as required.</li> </ul>

ROLE	RESPONSIBILITY
Schedule Coordinator(s)	<ul style="list-style-type: none"> <li>▪ Establish and socialize schedule management standards and best-practices; Recommend exceptions to standards on a case-by-case basis</li> <li>▪ Coordinate the continuous, recurring process that represents the appropriate rigor for schedule management based on the phase or stage of the Project               <ul style="list-style-type: none"> <li>○ Collect team schedules from vendor teams to incorporate in the Master Project Schedule.</li> <li>○ Collect progress updates from all the project work streams</li> <li>○ Incorporate the updates and changes into the Master Project Schedule</li> <li>○ Facilitate analysis of progress updates and changes</li> <li>○ Provide the schedule and related analysis to the whole project team and identified stakeholders</li> <li>○ Facilitate time management discussions to resolve any schedule conflicts and issues</li> </ul> </li> <li>▪ Maintain the schedule management process documentation in the Schedule Management Plan as needed</li> <li>▪ Maintain the Project Work Breakdown Structure chart</li> </ul>
Budget Coordinator	<ul style="list-style-type: none"> <li>▪ The planning, analysis, development, implementation, execution, and maintenance of cost activities as required.</li> </ul>

**Exhibit 35: Performance Management Roles and Responsibilities**

**8.3 Project Metrics**

The AgCSS Project uses performance measures to examine the progress team members are making toward the completion of their work and to assess how efficiently and effectively the work effort meets the project objectives. Project quality, risks and the overall status of the project are continuously assessed. This section identifies the metrics that will be used to measure and manage the Project’s performance. It also details the process and tools to collect the necessary base measures, how to calculate the metrics, analyze the results (including quantitative analysis) and report performance results.

In addition to project level performance measures, performance measures will be tracked to specific project phases and/or workstream as well as by major release.

The AgCSS PMO and individual project managers will capture and report performance metric information for management purposes. The selected performance data will be reported in the Key Metrics section of status reports.

The AgCSS Project Team will review the performance metrics reported and assess their usefulness for project management activities. Over time, FDACS may determine to stop reporting certain metrics, refine others, and make requests for additional metrics. The Executive Sponsor and the PPMO Manager will review targets for the metrics reported and make recommendations on targets that have not yet been set

within this document and / or adjustments to target values. The Project Manager(s) will work with FDACS to determine if requested metrics can be reliably captured and reported before implementation.

### 8.3.1. AgCSS Managed Project Metrics

The following table lists the “library” of measures collected, analyzed and reported by the AgCSS PMO. These metrics are used together with target and tolerance ranges as a management tool. Metrics will be reported as appropriate for the phase and type of work underway. Target and range values for the listed metrics are based either on industry data (e.g., defect containment model information) or on the basic characteristic of the measurement (e.g., SPI being on schedule is a value 1 so a target near this value is set). Frequency is determined by the Status Reporting Cycle in Section 12 Project Status Reporting.

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Average Risk Rating	All	Are risks and issues managed appropriately?	Risk Exposure is a relative weight of a risk, based on the probability the risk will be realized and the impact of the risk if it is realized. Average Risk Rating measures the average level of Risk Exposure for all of the Project’s active risks. Determines the Project’s effectiveness at mitigating risks.	Total Risk Rating (summed products of probability and impact for all risks) / Number of Active Risks	Each reporting cycle (See Section 0)	< 15 (average risk rating is Medium to Low – see Exhibit 61: Risk Rating Scores (Probability x Impact))	Project Status Report and/or Meeting



METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Schedule Performance Index	On Time	Are we meeting our schedule?	Schedule Performance Index (SPI) measures whether the Project is earning value at the scheduled rate. This metric can be used to assist managers in determining if a Project will be completed on time, assuming that the current trends continue.	Budgeted Cost of the Work Performed (BCWP) / Budgeted Cost of the Work Scheduled (BCWS)	Each Reporting Cycle (See Section 0)	Between .90 and 1.10 with 1 as the primary target. Above 1 is better than below.	Project Status Report and/or Meeting
Cost Performance Index	On Budget	Are actual costs on task with forecasted costs?	The Cost Performance Index (CPI) gives a measure of efficiency. It shows how efficiently the Project is actually spending budget dollars compared to how efficiently Project Management planned to spend them.	It is calculated by dividing Earned Value by the Actual Cost.	Each Reporting Cycle (See Section 0),	Between .90 and 1.10 with 1 as the primary target. Above 1 is better than below.	Project Status Report and/or Meeting

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Contractual Deliverable Acceptance	High Quality	Are we meeting the department quality requirements?	Measures the percentage of submitted deliverables that the department has fully accepted.	Number of Deliverables (Fully Accepted, conditionally <sup>2</sup> Accepted, Rejected, Pending) by the Dept. / Number of Deliverables Submitted to the Dept. to date * 100%	Each Reporting Cycle (See Section 0);	100% Accepted - Fully or Conditional	Project Status Report, and/or Meeting
Contractual Deliverables Average Days Late	On Time	Are deliverables completed on time?	This metric is used to determine the timeliness of contractual deliverable submissions to the department. This metric also may indicate if the project is meeting their planned schedule.	Contractual Deliverable Timeliness: Average Days Late = Sum of number of days late for all contractual deliverables that were late or are outstanding / number of contractual deliverables late or outstanding	Each Reporting Cycle (See Section 0)	< 1	Project Status Report and/or Meeting

<sup>2</sup> Note that Conditional Acceptance would be rarely used. Acceptance Criteria will be clearly defined in the Deliverables Expectations Document (DED). There may be a situation where a deliverable would be conditionally accepted with defined criteria to bring the deliverable to full acceptance or to conditionally accept pending future update to a deliverable in a later project phase or release.

METRIC / MODEL NAME	GOAL	QUESTION	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Schedule Variance	On Time	Are we meeting our schedule?	Schedule Variance (SV) determines whether the project team is on, ahead, or behind schedule by calculating whether the team has completed (BCWP) more or less work than scheduled (BCWS) for a given period.	Budgeted Cost of the Work Performed (BCWP) - Budgeted Cost of the Work Scheduled (BCWS)	Each Reporting Cycle (See Section 0)	Within 10% of schedule	Project Status Report and/or Meeting
Cost Variance	On Budget	Are actual costs on task with forecasted costs?	Cost Variance (CV) is the measure of cost performance on the Project. It is equal to earned value (EV) minus actual costs (AC). Any negative CV is often non-recoverable to the project.	$CV = EV - AC$	Each Reporting Cycle (See Section 0)	Within 10% of schedule	Project Status Report and/or Meeting

### Exhibit 36: Performance Metrics Library

#### 8.3.2 GCOM Managed Performance Measures

The following performance measures will be tracked during the appropriate phases of the Release Lifecycle by GCOM. These metrics are available to the AgCSS PMO upon request and/or JIRA Dashboard.

METRIC / MODEL NAME	DESCRIPTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
Requirement Volatility	Measures requirements changes by category.	Number of requirement changes/total number of original requirements, grouped by category and by Project Phase	Real-time via JIRA Dashboard	TBD	JIRA Dashboard
RAID Work Time to Close Trend	Measures average time trend to close RAID Work Items	Average time (open to close) to resolve RAID Work Items. Only measures Work Items that are closed.	Measured Bi-Weekly, Available Real Time in JIRA	TBD	JIRA Dashboard
RAID Work Items Aging Over 5 Days Trend	Measure trend of aging RAID Work Items.	Average number of RAID work items that are not resolved by period.	Measured Bi-Weekly, Available Real Time in JIRA	TBD	JIRA Dashboard
RAID Work Item Burn Down Chart	Measure trends in open RAID Items.	Generated by JIRA. Measures total RAID Item less closed RAID Items for each time period.	Measured Bi-Weekly, Available Real Time in JIRA	TBD	JIRA Dashboard

GCOM will provide test management and test execution metrics as part of the D13 Master Test Plan Deliverable.

#### 8.4 Base Measure Data Sources and Tools

Performance data are captured and reported through a variety of tools. The AgCSS Project uses the following tools to capture or report base measure data:

DATA SOURCE/TOOL	FREQUENCY	SUBMITTED BY	BASE MEASURES	METRIC / MODEL CATEGORIES
Master Project Schedule (MS Project)	<ul style="list-style-type: none"> <li>Weekly or Bi-weekly</li> </ul>	<ul style="list-style-type: none"> <li>Vendor Work Stream Leads</li> <li>PMO Schedule Manager</li> </ul>	<ul style="list-style-type: none"> <li>Planned Start and Finish Dates (baselined)</li> <li>Actual Start and Finish Dates</li> <li>%Complete</li> <li>Remaining Duration</li> <li>%Work Complete</li> <li>Remaining Work</li> <li>BCWP</li> <li>BCWS</li> </ul>	<ul style="list-style-type: none"> <li>Schedule Performance Index</li> <li>Schedule Variance</li> <li>Schedule Variance %</li> </ul>
JIRA Deliverable Log	<ul style="list-style-type: none"> <li>This is a JIRA Dashboard and Work Item tickets used to track project as they are Created, Submitted, Accepted / Not Accepted as part of the Deliverable Review Process</li> </ul>	<ul style="list-style-type: none"> <li>PMO Deliverable Manager</li> <li>Contract Manager</li> <li>Vendor Contract Management</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Name</li> <li>Date Created</li> <li>Date Due</li> <li>Date Submitted</li> <li>Date Accepted</li> <li>Current Acceptance Status (Fully Accepted, Conditionally Accepted, Pending, Rejected)</li> </ul>	<ul style="list-style-type: none"> <li>Contractual Deliverable Timeliness</li> <li>Contractual Deliverable Acceptance</li> <li>Contractual Deliverable Average Days Late</li> </ul>

DATA SOURCE/TOOL	FREQUENCY	SUBMITTED BY	BASE MEASURES	METRIC / MODEL CATEGORIES
JIRA RAIDL Log	<ul style="list-style-type: none"> <li>Updated as identified</li> </ul>	<ul style="list-style-type: none"> <li>PMO Team</li> <li>AgCSS Project Team</li> </ul>	<ul style="list-style-type: none"> <li>Number of Active Risks</li> <li>Number of Realized Risks</li> <li>Risk Impact</li> <li>Risk Probability</li> <li>Risk Exposure</li> <li>Total Risk Exposure</li> <li>Number of Open Issues</li> <li>Issue Status</li> <li>Priority</li> <li>Number of Open Decisions</li> <li>Mean time to resolve issues</li> <li>Mean time of open issues</li> <li>Longest current open issue</li> <li>Lessons Learned</li> <li>Number of Open Issues past their due date</li> <li>Open Issue aging</li> </ul>	<ul style="list-style-type: none"> <li>Average Risk Exposure</li> <li>Issue Closure</li> </ul>
AgCSS Project Spend Plan	<ul style="list-style-type: none"> <li>Monthly &amp; Quarterly</li> </ul>	<ul style="list-style-type: none"> <li>FDACS Contract Manager</li> </ul>	<ul style="list-style-type: none"> <li>Cost Variance</li> <li>Estimate at Completion</li> <li>Estimate to Complete</li> <li>Variance at Completion</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>

**Exhibit 37: Base Measure Data Sources and Tools**

### 8.5 Data Integrity and Validation

The data submitted to support the Performance Measurement process must be of high integrity. The quality of the analysis and the ability for decision makers to trust the analysis is dependent on the quality of the data. It is important that the data collected, analyzed, reported, and submitted be accurate. The analysis of the data on the project level can only be beneficial if the data are “clean.”

The Project PMO Team will review the information being submitted to verify there is no missing data. The PMO Project Manager will review data submitted according to the following guidelines:

- No missing data
- Accurate data
- Use of correct units of measure
- Includes correct categories and types of data
- Consistently applies definitions of requested data

## 8.6 Analysis and Corrective Action Plans

Corrective actions are used to identify how the project will remedy a problem in the performance of a project process. Corrective actions are required for key project processes associated to project metrics with organizational baseline limits. The following rules are used to determine if the process is not performing within acceptable tolerances and requires further analysis.

The first rule applies to all metrics.

- Beyond Limits – The current metric result is outside expected variance (from baselines, specifications or thresholds), going by whichever set of limits is most strict.

The following rule applies only to time-based data (such as SPI), not to event-based data (such as peer reviews).

- Trending in One Direction – The metric result has been trending in one direction for at least five times in a row for weekly items (with lower tolerance employed for longer reporting periods).

If any metric results break of the applicable rules, they are analyzed to determine the root cause and, where appropriate, documented in the Project Status Report.

The Project PMO will analyze and determine root causes for those metrics with results Beyond Limits or those with results trending in One Direction. The AgCSS Project PM Team will discuss and develop an action plan to address those root causes and report that plan to the PPMO Manager and during the project status meeting. Any identified corrective actions will be logged and tracked to completion. Possible corrective actions include:

- Schedule, Budget, or Work Plan rework – Reassess estimates and approximations, prioritize, rework sequences, and add experienced personnel or additional resources.
- Process Change or Review – The creation or modification of the process, or retraining process users to address results.

- Renegotiate service delivery targets or service level agreements – Reassess service targets if they are not realistic given project budget, schedule, or other external constraints.

The Project PMO will complete a Change Request for those corrective actions that will affect project scope, budget, or schedule.



## 9 Deliverables Management Plan

The Deliverables Management Plan outlines the procedures for managing the planning, development, submission, review and acceptance of project deliverables, work products and artifacts, hereto referred to as deliverables. These procedures provide a comprehensive picture of the way in which deliverables will be planned for, developed, delivered and tracked from inception through acceptance.

The AgCSS Project contracts and statements of work identify the deliverables to be completed. The way in which each deliverable is to be developed will vary depending on the type of deliverable to be completed. Deliverables will be developed using the tools and techniques appropriate to their form. This will include the use of Microsoft Office software (for written or other hard-copy deliverables), COTS, framework or custom software (for application software deliverables), or other tools. Each deliverable will be created using a standard template including agreed-upon acceptance criteria that is approved during the Deliverable Expectations process. Each Deliverable will be tracked in the AgCSS Project Deliverables Tracking Log in terms of Date Due, Acceptance Criteria, and Status. The log will be created and managed in JIRA using the [Deliverable Log Dashboard](#). The Log will be jointly managed by the AgCSS PMO with input from GCOM.

### 9.1 Roles and Responsibilities

The table below describes the deliverable submission and review roles and responsibilities for implementing the Deliverables Management Plan.

ROLE	RESPONSIBILITY
GCOM (or other) Work Stream Lead	<ul style="list-style-type: none"> <li>▪ Creates and submits the Deliverable Expectations Document</li> <li>▪ Updates deliverable if comments are returned as a result of the review process</li> <li>▪ Creates meeting minutes from Deliverable Expectations meeting(s)</li> <li>▪ Develops the Deliverable Expectations Document (DED) based on the discussions in the Deliverable Expectations meeting(s)</li> <li>▪ Submits plan for logical break up of large deliverables in the DED (if needed)</li> <li>▪ Develops Deliverable</li> <li>▪ Submits deliverable for review and acceptance</li> <li>▪ Submits deliverable sections for acceptance per the agreed-upon plan, if the deliverable has been identified as a large deliverable</li> <li>▪ Conducts walkthrough (if requested by Deliverable Lead)</li> <li>▪ Publishes walkthrough minutes</li> <li>▪ Works with Deliverable Lead to resolve issues</li> <li>▪ Incorporates review changes to the deliverables</li> <li>▪ Submits revised deliverable for acceptance</li> <li>▪ Participates in presentation to IT Governance Team (if requested)</li> </ul>

ROLE	RESPONSIBILITY
Deliverable Coordinator (Member of AgCSS PMO)	<ul style="list-style-type: none"> <li>▪ Records deliverables in the Deliverables Log</li> <li>▪ Updates the Deliverables Log on a continual basis to accurately track deliverables and makes the Deliverables Log readily available to FDACS</li> <li>▪ Performs preliminary review of deliverables to ensure they meet contract requirements and basic quality standards</li> <li>▪ Facilitates the review process</li> <li>▪ Distributes deliverable feedback forms as necessary</li> <li>▪ Provides written deliverable comments from reviewers as received to the Deliverable Developer</li> <li>▪ Sends comments and a deliverable recommendation to the PPMO Manager</li> <li>▪ Stores final deliverable and comment review sheets and other related documentation in the AgCSS Project document repository</li> </ul>
AgCSS Deliverable Lead	<ul style="list-style-type: none"> <li>▪ Selects Deliverable Review Team with the PPMO Manager and review team assigned roles</li> <li>▪ Identifies Deliverable stakeholders</li> <li>▪ Facilitates Deliverable Expectations meeting</li> <li>▪ Reviews and approves the Deliverable Expectations and Deliverable Acceptance Criteria documents</li> <li>▪ Identifies large deliverables which may need to be broken up into manageable sections</li> <li>▪ Distributes deliverable to Deliverable Review Team (and Deliverable Review Work Stream Leads for larger deliverables)</li> <li>▪ Manages the Deliverable Review and Acceptance Process with the Deliverable Review Team</li> <li>▪ Synthesizes deliverable review comments to ensure consistency, completeness, quality and accuracy of comments</li> <li>▪ Acts as Point of Contact (POC) for the Deliverable Owner/Developer</li> <li>▪ Facilitates communication among Deliverable stakeholders</li> <li>▪ Participates in comment resolution process</li> <li>▪ Escalates irresolvable issues to the FDACS AgCSS Project Manager</li> <li>▪ Manages presentation of deliverable to the IT Governance Team (if required)</li> <li>▪ Requests deliverable walk-through from Deliverable Owner/Developer</li> <li>▪ Makes a formal recommendation to the PPMO Manager on acceptance or rejection of the deliverable</li> <li>▪ Facilitates the payment and invoicing for approved deliverable with the PPMO Manager and Contract Manager</li> </ul>

ROLE	RESPONSIBILITY
<p>AgCSS Deliverable Review Team (or Sub-Teams for larger deliverables)</p>	<ul style="list-style-type: none"> <li>▪ Participates in Deliverable Expectations Meeting(s)</li> <li>▪ Participates in deliverable development as a source of information for the Developer. Review Team members are not permitted to perform any formal development. If they do, they must not review any of their own work</li> <li>▪ Reviews deliverable according to assigned role</li> <li>▪ Identifies and records revision comments in required format and within the established review period</li> <li>▪ Participates in comment resolution</li> <li>▪ Reviews updates after the Developer has made changes to the draft deliverable ensuring the final deliverable is a quality product meeting the requirements defined in the Deliverable Expectations Document</li> </ul>
<p>AgCSS Deliverable Review Sub-Team Lead</p>	<p>This role exists for deliverables of large size. The larger deliverable is split into smaller portions and a Review Sub-Team is created for each portion. The Deliverable Review Sub-Team Lead reports to the Deliverable Lead, but manages the sub-team with the following responsibilities:</p> <ul style="list-style-type: none"> <li>▪ Serves as part of a Deliverable Review Team</li> <li>▪ Selects a Sub-Team of Reviewers with the Deliverable Lead with approval from the FDACS AgCSS Project Manager</li> <li>▪ Assists in the review team responsibilities</li> <li>▪ Distributes Deliverable to Deliverable Review Sub-Team Members</li> <li>▪ Manages the review and acceptance process within the Deliverable Review Sub-Team</li> <li>▪ Consolidates Comments for the Deliverable Review Sub-Team</li> <li>▪ Participates in comment resolution</li> <li>▪ Manages communications between the Review Sub-Team, the Deliverable Review Team, and the Deliverable Lead</li> <li>▪ Escalates unresolved issues to the Deliverable Lead</li> </ul>

ROLE	RESPONSIBILITY
FDACS Contract Manager	<ul style="list-style-type: none"> <li>▪ Reviews comments and recommendations for the deliverables from the Deliverable Lead</li> <li>▪ Coordinates with Executive Sponsor on formal acceptance of deliverable when needed</li> <li>▪ Uses appropriate escalation processes as needed for deliverable content issues</li> <li>▪ Has final signoff authority on all deliverables</li> <li>▪ Accepts or rejects deliverables and communicates the disposition to the FDACS AgCSS Project Manager and Deliverable Developer</li> <li>▪ Notifies appropriate parties of acceptance/rejection of deliverable</li> <li>▪ Submits status reports in accordance with AgCSS Project Status and Schedule Management processes</li> <li>▪ Prepares Deliverable Review and Acceptance documentation for submission of payment invoice</li> <li>▪ Coordinates with the department Contract Management Office and Department of Financial Services to facilitate the payment of the Vendor invoice in compliance with Florida State Statutes</li> </ul>

**Exhibit 38: Deliverable Management Roles and Responsibilities**

**9.2 Deliverable Review Team Selection**

The Deliverable Review Team consists of individuals assigned to specific reviewer roles. Role assignment guidelines are provided in the Deliverable Review Team Assignment Definitions exhibit below. The Deliverable Lead may be assigned to one of these roles. The AgCSS PMO and PPMO Manager will have the authority to adjust these guidelines based on the size, type and complexity of the deliverable.

Once the members of the Deliverable Review Team have been approved, the Deliverable Lead reviews responsibilities for the planned activities for the Deliverable planning, development, review and acceptance activities with each member. This will include a discussion of the role and responsibilities for each member. The following table describes the roles and responsibilities of the Deliverable Review Team.

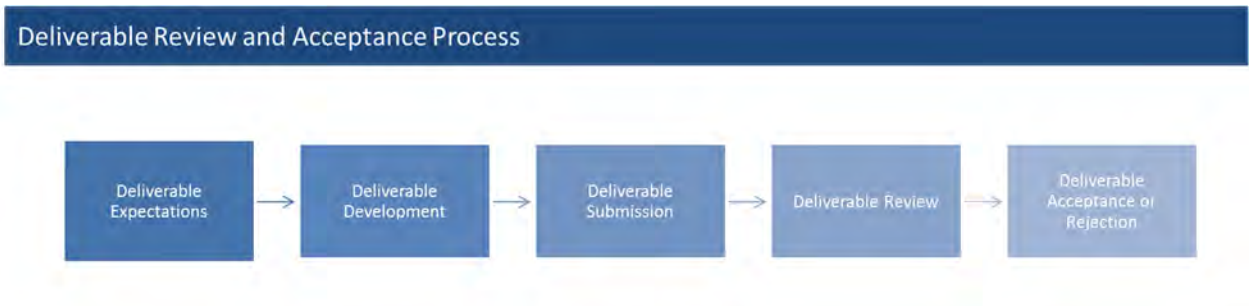
ROLE	RESPONSIBILITY
Technical Expert(s)	<ul style="list-style-type: none"> <li>▪ The individual(s) in this role must have specific knowledge of the technical requirements of the deliverable and be qualified to review the deliverable for correctness, completeness, and appropriate level of detail. Must be capable of reviewing the deliverable for spelling, grammar, and compliance with the AgCSS Project Document Management Plan (if applicable).</li> </ul>

<p>Deliverable Expectations Reviewer</p>	<ul style="list-style-type: none"> <li>The individual in this role must be qualified to determine if the deliverable meets its contractual requirements, including the expectations, acceptance criteria, and scope set forth by the Deliverable Stakeholders. This individual will work with the other reviewers to ensure the details of the requirements are correct. Must be capable of reviewing the deliverable for spelling, grammar, and compliance with the AgCSS Project Document Management Plan (if applicable).</li> </ul>
<p>Subject Matter Experts</p>	<ul style="list-style-type: none"> <li>The individuals in this role must be qualified to review the deliverable based on their subject matter expertise in the business area to which the deliverable pertains. Must be capable of reviewing the deliverable for spelling, grammar, and compliance with the AgCSS Project Document Management Plan (if applicable).</li> </ul>
<p>Administrative Reviewer</p>	<ul style="list-style-type: none"> <li>The individual in this role must be qualified to review the deliverable for spelling, grammar, and compliance with the AgCSS Project Document Management Plan (if applicable).</li> </ul>

**Exhibit 39: Deliverable Review Team Assignment Definitions**

**9.3 Deliverable Review and Acceptance Process**

This section provides an overview of the deliverable submission and review process to include a definition for each of the deliverable review and acceptance sub-processes illustrated in the exhibit below and described in further detail in the following sub-sections of this document. The term deliverable includes a variety of project work product types (e.g., software resolution, any QA results, and reports, etc.).



**Exhibit 40: Deliverable Review and Acceptance Process**

The Deliverable Review and Acceptance process is made up of five major sub-processes or phases as shown above.

### 9.3.1 The Deliverable Expectations Process

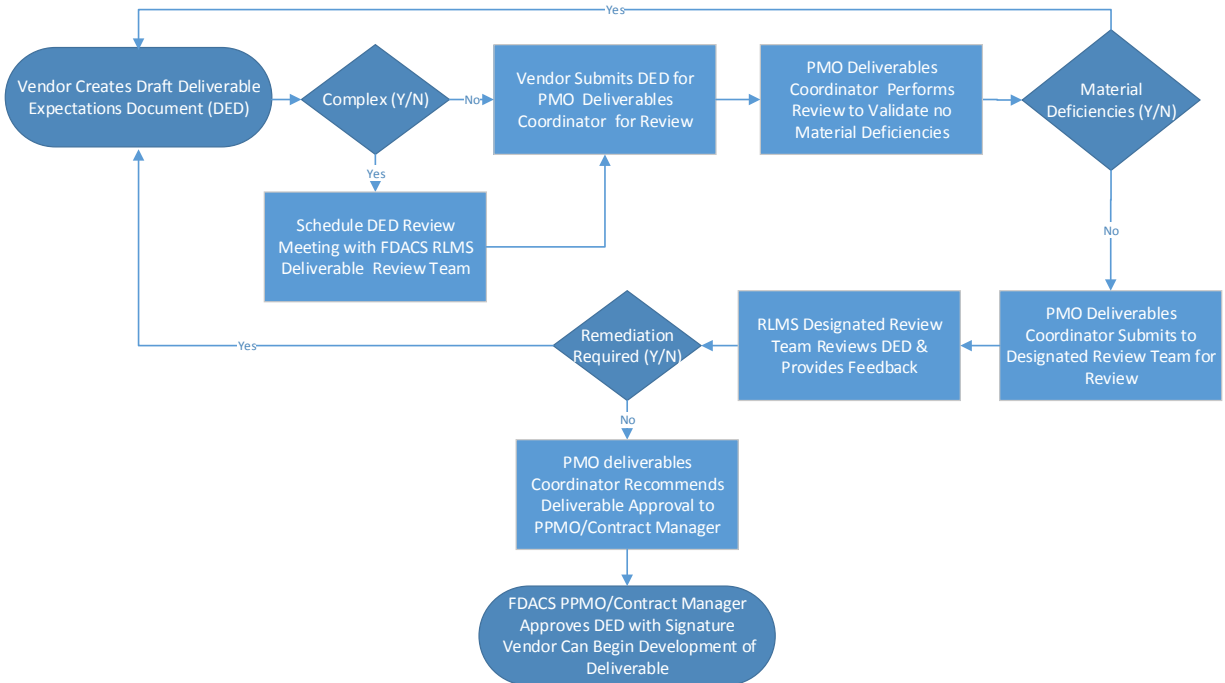
The Deliverable Expectations Process defines the following:

- Tasks, responsible actors and outputs for establishing the contractual acceptance, format and content expectations for project deliverables;
- Tasks, responsible actors and outputs for the submission, receipt, and the review and comment feedback of draft deliverables and the resolution of review feedback for acceptance of a final deliverable draft;
- Tasks, responsible actors and outputs for the approval and invoice payment of a final deliverable.

The Deliverable Expectations process includes the steps involved in the documentation of expectations and acceptance criteria for a deliverable prior to its development. The process includes holding expectations meetings, documenting expectations and acceptance criteria, and resolving any issues between the Deliverable Review Team and the Deliverable Developer prior to beginning development. The output of the process is an approved Deliverable Expectations Document (DED). The diagram below outlines the deliverable expectations development and approval process.

Deliverable Expectation Document (DED) Process

AgCSS Project



**Exhibit 41: Deliverable Expectations Document (DED) Process**

### 9.3.1.1 Creating the Deliverable Expectations Document (DED)

The Deliverable Coordinator will schedule one or more expectations meetings with the Vendor Project Manager, Work Stream Lead, key AgCSS Project personnel and the Deliverable Review Team members as part of the DED development process. The expectations meeting(s) are intended to formally establish expectations for the development of the deliverable. Expectations will focus on identifying and agreeing upon the “who”, “what”, “why”, “where”, “when”, and “how” for the development of the deliverable, and must include the acceptance criteria for the deliverable under development. It is important the Deliverable Lead schedule the expectations meetings to allow sufficient time to define, draft, approve and baseline the Deliverable Expectations Document in advance of the date development is scheduled to begin on the deliverable. If a due date has not been set for a deliverable (either contractually or in the AgCSS Project

master project schedule), a date will be established during the DED development process and agreed to by the Deliverable Stakeholders.

The Deliverable Coordinator will work with the Deliverable Lead, Vendor Project Manager and the Work Stream Lead to schedule the Deliverable Expectations meetings. The Deliverable Lead is responsible for ensuring key stakeholders are invited to the expectations meeting and remain involved throughout the deliverable development process. All Deliverable Developers and Deliverable Review Team members must be adequately prepared for the Expectations meeting(s) by completing the following:

- Review any background information distributed by the Deliverable Coordinator;
- In the case of vendor deliverables, study the procurement document giving special attention to the deliverable expectations, acceptance criteria, and the vendor proposal; discuss expectations with the vendor and key staff knowledgeable of issues inhibiting mutual understanding of the expectations of the deliverable;
- Review of the Draft DED, developed by the Deliverable Developer, informed by preliminary meetings in the identification of the deliverable based on the final version of the vendor's contract and any subsequent amendments or modifications.

### 9.3.1.2 The Deliverable Expectations Document

The Deliverable Expectations Document (DED) is used to define deliverable requirements and the developer's approach to meeting the deliverable requirements through the development of the deliverable.

In addition, the Deliverable Acceptance Criteria is recorded in the DED and includes all applicable acceptance criteria for each of the deliverable expectations. Each of the requirements defined must have corresponding criteria defining how that expectation will be measured. Since these acceptance criteria will be the definition of what is required for a deliverable to be considered complete and approved, it is critical to remove as much subjectivity and ambiguity as possible. The acceptance criteria must be clearly defined, quantifiable and measurable. Recorded in the document are the specifics of how the criteria will be measured, and any comments pertinent to further clarifying the criteria or assessment.

Following the Expectations meeting(s), the Deliverable Coordinator will:

- Review and approve remediation required;
- Distribute the remediation required to the Deliverable Lead and Vendor Project Manager;
- Coordinate any updates to the Deliverable Expectations Document;
- Schedule follow-up expectations meetings if applicable (resolve issues/action items; finalize deliverable expectations and acceptance criteria).

Once agreement is reached on the expectations and acceptance criteria, the Deliverable Developer updates the draft based on the outcomes of the Deliverable Expectations meeting(s) and submits the DED to the



Deliverable Coordinator who then distributes it to the Deliverable Lead for approval. The Deliverable Lead reviews and approves the document, or escalates specific concerns as project issues if agreement as to the acceptability of the document cannot be reached. Once finalized and approved, the Deliverable Lead sends it to all stakeholders who attended the expectations meeting to ensure understanding of the document by key deliverable stakeholders. Additionally, the expectations meeting minutes and the deliverable expectations and acceptance criteria document are entered into the AgCSS Project document repository by the Deliverable Coordinator.

All Vendors with contracted AgCSS project deliverables are required to use the FDACS AgCSS DED template. The DED Template can be found on the AgCSS Project SharePoint site in the PMO Document Library.

The table below outlines the Deliverable Expectations Document process.

TASK	DESCRIPTION	ROLES
Develop Draft DED and Meeting Materials	<ul style="list-style-type: none"> <li>▪ The Work Stream Lead develops the initial draft of the DED, the meeting agenda and any supporting materials for the Deliverable Expectations meeting</li> <li>▪ The Vendor Project Manager sends the Deliverable Coordinator the draft DED for distribution to the key Deliverable Stakeholders</li> </ul>	Deliverable Coordinator, GCOM Project Manager, Work Stream Lead, Key Deliverable Stakeholders
Schedule Deliverable Expectations Meeting	<ul style="list-style-type: none"> <li>▪ The Deliverable Coordinator schedules the Deliverable Expectations meeting to include all Deliverable Stakeholders (including deliverable developers)</li> <li>▪ Distribute vendor solicitation document and proposal (if applicable) and related information about the deliverable for review prior to the meeting</li> </ul>	Deliverable Coordinator

TASK	DESCRIPTION	ROLES
Prepare for Deliverable Expectations Meeting	<ul style="list-style-type: none"> <li>▪ Review information distributed by the Deliverable Lead</li> <li>▪ Review vendor solicitation document and proposal requirements (if applicable)</li> <li>▪ Identify deliverable expectations and prepare to review them with team</li> <li>▪ Identify acceptance criteria and prepare to review them with team</li> <li>▪ Review draft DED and any supporting materials</li> </ul>	Deliverable Coordinator, Key Deliverable Stakeholders
Conduct Deliverable Expectations Meeting	<ul style="list-style-type: none"> <li>▪ The Deliverable Coordinator will schedule the meeting and distribute meeting artifacts</li> <li>▪ If necessary, the Deliverable Lead will guide participants in establishing the deliverable due date</li> <li>▪ This meeting will include the Vendor Project Manager, Work Stream Lead, and representatives of the Deliverable Review Team (at the Vendor Project Manager’s discretion)</li> <li>▪ Make initial determination of whether a Deliverable walk-through will be required</li> <li>▪ Schedule and facilitate internal follow up meetings for clarification and consensus of acceptance criteria</li> </ul>	Deliverable Coordinator
Document Remediation Required	<ul style="list-style-type: none"> <li>▪ Deliverable Coordinator will document any remediation required and insert comments and/or edits into the DED through use of the collaboration tools on the AgCSS SharePoint site</li> </ul>	Deliverable Coordinator

TASK	DESCRIPTION	ROLES
Submit Final Draft DED for Approval	<ul style="list-style-type: none"> <li>The Vendor Project Manager and Work Stream Lead document the deliverable expectations and acceptance criteria in the agreed-upon format and submits the document to the Deliverable Coordinator for review and approval based on the planned date for submission documented in the AgCSS Project Master Project Schedule</li> <li>Deliverable submission is based upon the planned submission date documented in the AgCSS Project Master Project Schedule</li> </ul>	Vendor Project Manager, Work Stream Leads, Deliverable Coordinator
Distribute DED for Review and Approval	<ul style="list-style-type: none"> <li>Vendor Project Manager posts the DED submission to the AgCSS Project PMO SharePoint site as record of the DED submission</li> <li>Deliverable Coordinator distributes the draft DED to the Deliverable Lead and PPMO Manager for Review and Approval</li> </ul>	Vendor Project Manager, Deliverable Coordinator, Deliverable Lead, PPMO Manager
Approve DED	<ul style="list-style-type: none"> <li>Sign off of DED and post to SharePoint</li> </ul>	Deliverable Lead

### Exhibit 42: Deliverable Expectations Process Description

#### 9.3.1.3 DED for Large Deliverables

Many deliverables are too large for one individual to read in their entirety within the review period. If it is determined at the Deliverable Expectations meeting that this is the case, the Deliverable Developer must identify section breaks or component parts in order to logically divide a review between several individuals or in the case of very large deliverables, review sub-teams. Deliverable expectations and acceptance criteria will be created, documented and agreed upon to define the logical section breaks or component parts. During development, the Deliverable Developer will ensure the deliverable is created to support the division of the document to meet the agreed-upon expectations. Upon delivery, the Deliverable Lead will coordinate review effort by assigning the logical smaller sections or component parts to appropriate reviewers or review sub-teams based on expertise in the subject matter. Any deliverables of this nature will require a deliverable walkthrough upon delivery.

If it is determined at the Deliverable Expectations meeting that a deliverable is likely to be so large or complex that a single review period is impractical, steps will be taken at the meeting to establish a phased delivery plan.

The Deliverable Stakeholders shall review the requirements and expectations established for the deliverable and organize them into logical, manageable sections for submission at established intervals prior to the final deliverable due date. Each section shall include a detailed scope statement in a completed and approved DED that informs reviewers of which requirements and acceptance criteria are addressed in that section. In addition to individual reviews of each section, the Deliverable Lead will manage a review of the deliverable as a whole, prior to the final deliverable due date. This process will ensure there will be no gaps when the Deliverable Developer combines the parts into a contiguous deliverable.

The phased delivery plan for the large deliverable may include a process for informal reviews or development reviews of the sections prior to the formal submission of the consolidated deliverable. The goal of an informal review process is to facilitate collaborative development and to ensure expectations are met for detailed deliverable content between the Deliverable Lead and the Deliverable Developer before the formal and final review of the deliverable. The same guidelines and processes defined for the formal review of a deliverable will be employed for the informal review of a deliverable. Variations to the formal review guidelines contained within this document may be examined and considered for an informal review where appropriate to enable a more streamlined and accurate approach to the informal and collaborative development of the deliverable. An informal review of a deliverable will be conducted with the understanding that approval of the deliverable can only be accomplished after the formal review of the deliverable has been completed.

The informal review process will be documented in the DED. Based on the deliverable development approach defined in the DED, supporting procedures will be developed and distributed to the Deliverable Development and Review Teams to ensure a standardized process for the development and documentation of the deliverable across all Deliverable Stakeholders.

#### **9.4 Deliverable Development**

The key to the Deliverable Review Process performing at a high level is the involvement of the Deliverable Review Team in the Deliverable Development process. One of the criteria for the selection of the Deliverable Review Team is the opportunity for the individuals to be involved in the development of the deliverable. A Reviewer is not permitted to perform any actual development but is expected to interact with the Developer by providing input, expertise, decision-making, and ongoing review of the deliverable. Following this involvement, the Deliverable Review Team will be prepared with sufficient background on the deliverable to perform an educated, timely, and thorough review of the deliverable.

During the Deliverable Development process, decisions may be mutually agreed upon by the Deliverable Lead, Deliverable Coordinator and the GCOM Project Manager that impact the DED. When this occurs, the Vendor Project Manager is responsible for making the updates to the baselined version of the DED and submitting the revised document to the Deliverable Coordinator. The Deliverable Coordinator is responsible for managing the FDACS review and approval process for the updated DED.

### 9.4.1 Deliverable Format and Content

All deliverables, word processing documents, spreadsheets, presentations, charts, databases or other project artifacts will be provided in a format approved by and currently supported by the FDACS AgCSS Project Team. These formats include:

- Microsoft Office 2013 or higher (Word, Excel, Visio)
- Microsoft Visio Professional 2013 or higher
- Microsoft Project 2013 or higher

The content and format of the deliverables will be documented in the Deliverable Expectations Document (DED) in accordance with relevant industry standards “best practices” and, where appropriate, must follow the FDACS PPMO Document Management templates and Standards.

The PPMO Manager or FDACS AgCSS Project Manager may reject a deliverable (draft or final) as materially deficient that is missing agreed-upon content or has significant spelling, grammatical, punctuation, format, and/or pagination errors. If the deliverable is rejected on this latter basis, all grammatical, spelling, punctuation, format and/or pagination errors will be corrected, and another quality control review will be conducted before the deliverable is resubmitted. The FDACS AgCSS Project review team deliverable review cycle will begin based on the re-submission date and not on the original submission date.

### 9.5 Initial Quality Review

Upon submission to the AgCSS PMO, all deliverables will undergo an initial quality review for completeness and for compliance with the project document management standards and the deliverable management processes. The Initial Quality Review will examine the following items:

- Compliance with the DED;
- Compliance with project FDACS PPMO Document Management standards and use of approved project templates (where applicable);
- Deliverable review is in sync with review cycle (e.g., Submission, Draft, Final, etc.);
- All sections in the document appear to contain agreed-upon content;
- Formatting complies with contract requirements and appears reasonable;
- The deliverable review schedule is consistent with/matches the review schedule documented in the DED;
- Spell and grammar quality assurance has been performed by the vendor;
- Quality checklist accompanies the deliverable document.

If the submitted deliverable is found to be materially deficient, it will be returned to the vendor for corrective action prior to entering the formal review process. If the submitted deliverables pass the initial quality review, the deliverables are then distributed to the Deliverable Review Team for deliverable review, comment, feedback and/or approval. If the submitted deliverables do not pass the initial quality review, the Deliverable Coordinator will work with the Deliverable Lead, the Vendor Project Manager and the Work Stream Lead to document and communicate the remediation requirements of the deliverable submission.

### **9.5.1 Deliverable Submission**

Each deliverable will be submitted in accordance with the approved PMP and Project Schedule for review and acceptance by the Deliverable Lead and Deliverable Review Team.

When submitting deliverables to FDACS, the deliverable developers will ensure submissions are communicated at a minimum to the following individuals:

- The Executive Sponsor
- The FDACS PPMO Manager
- AgCSS Contract Manager
- The FDACS AgCSS Project Manager
- The Deliverable Coordinator
- IV&V

For AgCSS Project deliverables, the complete list of responsible parties receiving the submission emails can be found in the deliverable's corresponding Deliverable Expectations Document.

For deliverables consisting of multiple components, files, documents, etc., the number and type of products to be submitted must be identified in the DED. Additionally, the deliverable will be considered submitted – and the review cycle will start – only when all components have been submitted.

Drafts of deliverables may be submitted for FDACS' preliminary review. Depending upon the complexity of the deliverable, the Work Stream Lead submitting the deliverable may conduct a walk-through of the draft content upon submission to assist the review process. A Deliverable Walk-through will be done only at FDACS' discretion and must be agreed upon in the DED.

The final deliverable review is intended to be a confirmation that any minor corrections required as a result of the preceding draft reviews have been made and a cursory review or "spot check" of the overall deliverable. As such, in order to manage expectations and expedite the final deliverable review and approval process, the final deliverable will not differ materially from the preceding draft deliverable submitted for FDACS' review.

As part of this submission, the deliverable owner will submit an email referencing the completed Deliverable Transmittal Form (listed in the exhibit below) upon submission. These documents serve to provide a brief summary of the deliverable, identify its content, its owner, and to initiate feedback from the reviewers within the agreed-upon review period. The deliverable owner and the reviewers will use the AgCSS SharePoint Project Library for all collaboration related to the storage and review of all document deliverables.

### VENDOR DELIVERABLE SUBMISSION

<b>Submission Date:</b>	<b>Deliverable Title:</b>	<b>Deliverable Due Date:</b>
3/6/2017	D09: Deliverable Sample	3/5/2017
<b>Contract/Vendor:</b>	<b>Contract Manager:</b>	<b>Deliverable Status:</b>
Vendor Company Name	Vendor Contract Manager Name 850.123.1234	<input type="checkbox"/> Draft <input checked="" type="checkbox"/> Final

**Deliverable Description:**

- Monthly status report due by the fifth of the following month to include at a minimum the following:
- Activities/milestones, issues identified/addressed and accomplishments completed during the reporting period.
  - Projected activities for the next reporting period.
  - Meetings/presentations attended/facilitated.
  - Documents reviewed.

### CONTRACT MANAGER APPROVAL

<b>Contract Manager Approval:</b>	<b>Comments:</b>
<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Contract Manager Signature:</b>	<b>Date:</b>

### Exhibit 43: Sample Deliverable Transmittal Form Sample

#### 9.5.2 Deliverable Acceptance or Rejection

All AgCSS Project deliverables will be submitted to the Deliverable Coordinator and undergo an initial quality review. This process serves to verify the deliverable has been developed and submitted in the required format identified in the approved DED using industry standards for quality control. The purpose of the initial quality review is to facilitate an efficient and effective review by the Deliverable Lead and Review Team(s). If upon inspection the deliverable is found to be materially deficient by the Deliverable Coordinator, the deliverable will be returned to the vendor project manager for correction prior to entering the agreed-upon review cycle.

## 9.6 FDACS Deliverable Review Process

All AgCSS Project deliverables must be reviewed to confirm that the acceptance criteria have been met as outlined in the DED. The Deliverable Review process is initiated when the Vendor Project Manager submits a deliverable for acceptance. The deliverable must be 100% complete and in final format prior to submission. In the case of a phased deliverable, each of the sections will be managed as an individual deliverable. Once the review of each of the sections is complete, a final review will be conducted over the deliverable as a whole to ensure there are no gaps between the sections.

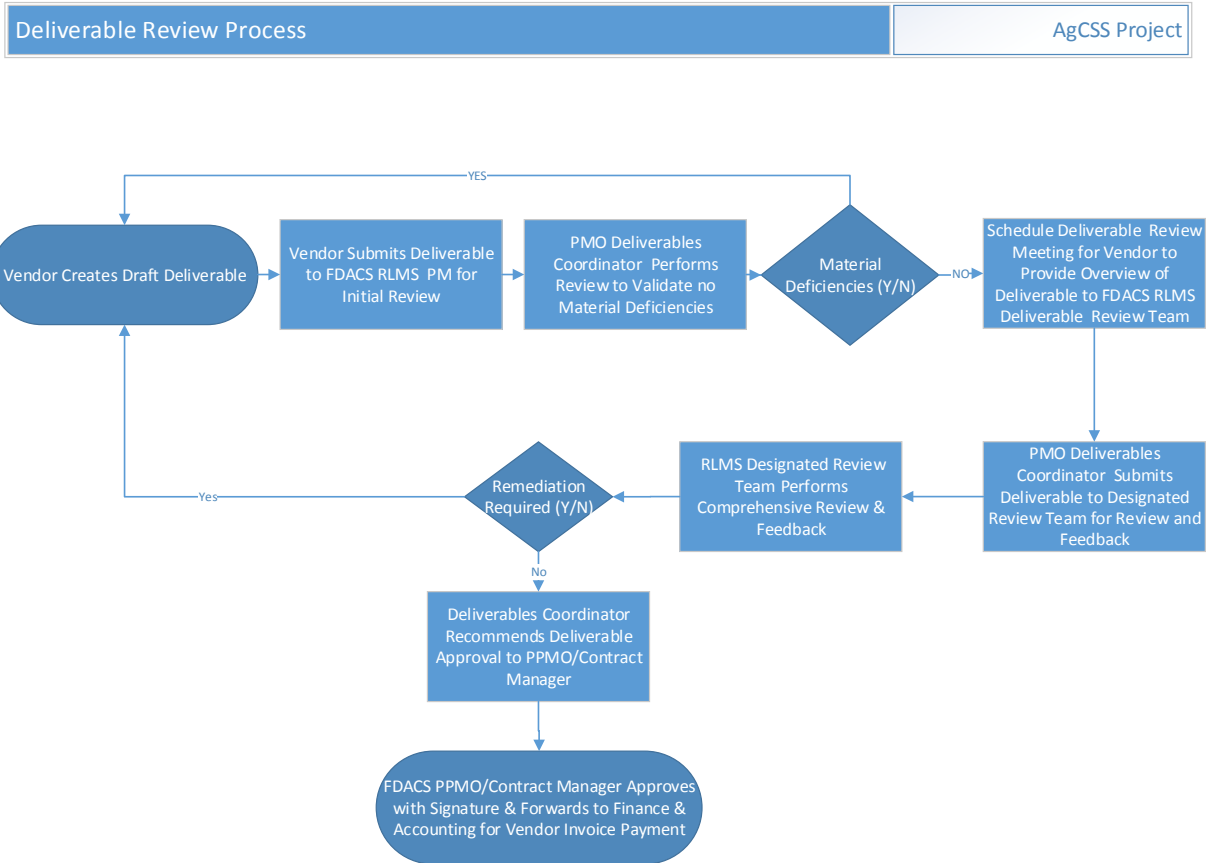
Once the deliverable has been submitted, the AgCSS Project Deliverable Review Team will review the deliverable within the agreed-upon number of business days (see Section 9.6.3, Deliverable Review Period Guidelines). Unless otherwise specified, if notification of deliverable acceptance or rejection has not been provided to the Deliverable Developer in the required review period, a project issue will be created and the issue escalation process described in this document will be followed. If FDACS requests changes, the suggested changes will be submitted in accordance with the Deliverable Review Process outlined in the Deliverable Review Process exhibit and based on the Deliverable Review Comments section of this document. All requested changes will be coordinated by the Deliverable Lead.

The Work Stream Lead will update the deliverable with the agreed-upon and accepted changes within the agreed-upon number of business days for that deliverable. The deliverable document revision history will be updated with a summary of the modifications made to the deliverable and the version number incremented based on the AgCSS Project Document Management Process. Changes requested by the Deliverable Review Team that are not recommended by the Deliverable Developer will be marked as “rejected” with a detailed explanation from the Work Stream Lead.

The Work Stream Lead will resubmit the updated Deliverable for final review and approval of the deliverable with the updated modifications based on the comment review feedback. Upon receipt of modifications, the Deliverable Review Team will review the deliverable to confirm the modifications within the contracted number of business days. If the Deliverable Review Team finds comments which were rejected by the Developer, and the Review Team does not agree with the Work Stream Lead’s explanation for the rejection, this comment will enter the escalation process and will be decided by the appropriate governance body depending on the impact and nature of the disagreement.

The following exhibit is the diagram of the AgCSS Deliverable Review Process.





### Exhibit 44: Deliverable Review Process

The table below provides a detailed description of the Deliverable Review Process shown in the previous exhibit.

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Vendor Creates Deliverable	<ul style="list-style-type: none"> <li>Vendor creates draft deliverable.</li> </ul>	<ul style="list-style-type: none"> <li>Vendor Work Stream Lead or Deliverable Developer</li> </ul>
Vendor Submits Deliverable	<ul style="list-style-type: none"> <li>Vendor Project Manager submits the deliverable to the Deliverable Coordinator for initial inspection.</li> </ul>	<ul style="list-style-type: none"> <li>Vendor Project Manager</li> </ul>

<p>Deliverable Coordinator Performs Review to Validate no Material Deficiencies</p>	<ul style="list-style-type: none"> <li>▪ The Deliverable Coordinator performs the initial quality inspection of the deliverable to validate there are no material deficiencies present. If material deficiencies are found, the deliverable is returned to the vendor for remediation with explanation of deficiencies.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Deliverable Coordinator</li> </ul>
<p>Deliverable Coordinator Schedules Overview of Deliverable by Vendor for FDACS Review Team</p>	<ul style="list-style-type: none"> <li>▪ The Deliverable Coordinator schedules an overview (walkthrough) of the deliverable by the vendor for the FDACS Deliverable Review Team. These sessions are to allow the FDACS Deliverable Review Team to ask questions and receive any clarification or additional information needed prior to initiating the review of the deliverable.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Deliverable Coordinator</li> <li>▪ Deliverable Review Team</li> <li>▪ Work Stream Lead</li> <li>▪ Vendor Project Manager</li> </ul>
<p>Deliverable Review Team performs review and provides feedback / comments</p>	<ul style="list-style-type: none"> <li>▪ Deliverable Review Team members review the deliverable in accordance with their assigned role.</li> <li>▪ Deliverable Review Team will provide comments and feedback via the designated review method documented in the DED (see section 9.6.3 Deliverable Review Guidelines).</li> <li>▪ Deliverable Lead will address any inconsistencies or duplication of feedback from the Deliverable Review Team within the designated review method.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Deliverable Coordinator</li> <li>▪ Deliverable Lead</li> <li>▪ Deliverable Review Team</li> </ul>
<p>Vendor Conducts Remediation (if required)</p>	<ul style="list-style-type: none"> <li>▪ Deliverable Review Team comments / feedback is reviewed and all comments given a disposition.</li> <li>▪ The deliverable is modified to reflect the Deliverable Review Team’s consolidated comments.</li> <li>▪ Deliverable revision history and version number are updated.</li> <li>▪ Questions/Issues/clarification regarding the comments are discussed with the Deliverable Lead and resolved.</li> <li>▪ Return updated deliverable, updated comment spreadsheet (when utilized) and Deliverable Transmittal Form to Deliverable Coordinator.</li> <li>▪ Whenever possible, the deliverable will be returned with track changes turned on. This</li> </ul>	<ul style="list-style-type: none"> <li>▪ Vendor Project Manager</li> <li>▪ Work Stream Lead</li> <li>▪ Deliverable Coordinator</li> </ul>

	will help clarify what changes were made and speed up the final review process.	
Deliverable Lead Recommends Deliverable Approval to FDACS AgCSS Project Manager	<ul style="list-style-type: none"> <li>Deliverable Lead confirms acceptance criteria has been met and recommends approval to FDACS AgCSS Project Manager who will notify Contract Manager and Vendor Project Manager to begin payment processing</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Lead</li> <li>FDACS AgCSS Project Manager</li> <li>Contract Manager</li> </ul>
Start the Payment Process	<ul style="list-style-type: none"> <li>Once the deliverable review process has been completed, the Deliverable will be submitted for payment to the Contract Manager with the submission of the vendor invoice, approved Deliverable Transmittal Form, and final deliverable.</li> </ul>	<ul style="list-style-type: none"> <li>Vendor Project Manager</li> <li>Contract Manager</li> </ul>

**Exhibit 45: Deliverable Review Process Description**

**9.6.1 Review Cycle Objective**

The AgCSS Deliverable Review and Acceptance Process will utilize the shortest review cycle possible that ensures a quality deliverable outcome. This ensures deliverables are reviewed and accepted without unnecessary delay. This concept requires commitment from the Deliverable Review Team as well as a robust quality commitment from the vendor to conduct a thorough and informed review of the deliverable at the time of submission. Subsequent reviews will be focused on ensuring comments documented in the previous reviews were addressed to the team’s satisfaction. The success of this review concept also depends on deliverables being 100% complete prior to submission.

**9.6.2 Deliverable Review Comments**

Each Deliverable Review Team member will clearly understand their assigned role in the deliverable review process prior to providing comments. Reviewers will be expected to apply their business, technical, or subject matter expertise to identify and suggest constructive solutions to any problems found with the deliverable’s content related to their role and within the specified timeframe. Reviewers will be expected to provide their comments to the Work Stream Lead using track changes in the draft deliverable via AgCSS SharePoint and meet collaboratively to review comments prior to resubmitting to vendor. For Microsoft Word documents where collaboration is available, reviews will use online tracking. Other deliverables (e.g., Microsoft Excel spreadsheets do not have tracking capabilities – and Deliverable Comment Spreadsheets may be used). Guidelines based on the size of the document and review team are detailed in **Exhibit 47: Sample Deliverable Review Guidelines** below. Comments must be actionable and specific, not just statements or questions. Comments must reference the appropriate sections of the Deliverable to the greatest extent possible. If there is a global comment that applies to different sections across the deliverable document, the appropriate references will be included across the document in order for all necessary changes to be made and tracked as opposed to documenting a single global comment.

When the Deliverable Review Team has completed their review, the Deliverable Lead is responsible for clarifying discrepancies in comment feedback across the deliverable review team. If necessary, the Deliverable Lead will conduct a comment review meeting during which the team will discuss their findings. The vendor may be asked to have resources available to answer questions in a “green room” scenario to assist with expediting this process. Where inline comments and track changes are used to provide deliverable review feedback, the Deliverable Lead is responsible to ensure that the updated deliverable is legible, content insertions are clear and organized, and comments are actionable. Where the comment review spreadsheet is used to provide deliverable review feedback, the Deliverable Lead will consolidate all comments into one spreadsheet, removing duplicates and clarifying vague language. The Deliverable Lead will also post the comment spreadsheet in a location where the Deliverable Review Team can view the contents prior to submission. If additional comments are received after the initial submission to the Deliverable Coordinator, the Deliverable Lead will submit a revised complete set of comments to the Deliverable Coordinator to avoid any confusion.

The Deliverable comment spreadsheet and or updated deliverable document(s) are then provided to the Deliverable Developer. If at any time during the Deliverable Review Process the Deliverable Lead requires clarification in order to provide a more actionable comment, then the Deliverable Lead will contact the Deliverable Developer for clarification. If a Deliverable Review Team member requires clarification, she or he will notify the Deliverable Lead who in turn will coordinate with the Deliverable Developer for the information. If the Deliverable Lead or a Deliverable Review Team member encounters a critical issue while reviewing a deliverable, that issue must be raised immediately to the AgCSS PMO and the PPMO Manager and not held for a deliverable review comment.

The Deliverable Coordinator will schedule a meeting with the Vendor Project Manager and Work Stream Lead on or about the date on which the comments are due for return to the Work Stream Lead. The Deliverable Coordinator, the Deliverable Review Team, the Vendor Project Manager and the Work Stream Lead will review the comments at that time to seek clarification and/or resolution to the deliverable review comments.

For larger deliverables where the comment volume is expected to be high, it is very important to build time into the deliverable review process for deliverable sub-team and review team to perform comment QA and consolidation. The approach to both developing and reviewing a large deliverable will be defined and agreed upon during the Expectations and Acceptance Criteria process and documented in the DED to include examining and modifying the Deliverable Review Comment spreadsheet/template to accommodate the format and vocabulary of the particular deliverable.

### **9.6.3 Deliverable Review Period Guidelines**

The standard deliverable review period is a guideline and will be evaluated for each deliverable based on type, size, and complexity. In the absence of a contractual obligation, a reasonable review period for a deliverable must be agreed upon by the Deliverable Coordinator, the PPMO Manager (where applicable) and the Vendor Project Manager and documented in the DED for that deliverable, prior to beginning the of the deliverable review process. When developing the schedule, the vendor has leeway to determine the length of its internal review as long as it does not impact the deliverable due date.

The table below summarizes the standard deliverable review period.

<b>DELIVERABLE TYPE</b>	<b>REVIEW STEP</b>	<b>REVIEW PERIOD (BUSINESS DAYS)</b>
Document	AgCSS PMO Initial Review	1 (Inspected on day of delivery)
	FDACS Review	10
	Remediate	5
	Final Approval and Signoff	5

### **Exhibit 46: Deliverable Review and Approval Timeline**

The exhibit below outlines recommended deliverable review guidelines.

<b>DELIVERABLE TYPE</b>	<b>SIZE</b>	<b>RECOMMENDED DELIVERABLE REVIEW FORM</b>
MS Word	1-150 pages, team size less than 7.	SharePoint Collaboration or Track Changes document on SharePoint (Check-out)
	150-500 pages dependent upon team size	SharePoint Collaboration, Track Changes document, or comment tracking worksheet – available in SharePoint(SP) in real time.
	500+	Track Changes document, or comment tracking worksheet – available in SP in real time.
Others (MS Project, MS Visio, MS Excel, etc.)	All	SharePoint Collaboration, Track Changes document, or comment tracking worksheet <sup>3</sup>

### **Exhibit 47: Sample Deliverable Review Guidelines**

<sup>3</sup> Note that there are limits to using SharePoint Collaboration. For large documents or documents with a large review group Collaboration mode may not perform satisfactory and editing in word with track changes or use of a comments list may work best.

#### 9.6.4 Deliverable Issue Resolution

Throughout this process, the FDACS AgCSS Project Manager will work with the Work Stream Lead, the Vendor Project Manager and the Deliverable Stakeholders to resolve issues as they arise. For example, after the compliance acceptance, if at any time during the deliverable review process, the Deliverable Review Team determines the deliverable does not meet minimum expectations to a level where the deliverable must be rejected, they will communicate their objections to the Deliverable Lead. If a deliverable is rejected, the AgCSS PMO will ensure that the Vendor is provided with directive comments and not generalized comments to describe the deficiencies with the deliverable. If the FDACS AgCSS Project Manager and Vendor Project Manager are unable to come to an agreement, an issue must be created and escalated in accordance with the PMP Issue/Action Item management process to the PPMO Manager, who may resolve the issue or solicit executive input. For details, refer to **Section 15 Issue/Action Item Management** in this document. The FDACS AgCSS Project Manager is responsible to ensure that the resolution to an issue is communicated to all Deliverable Stakeholders.

Note: If it is determined that a deliverable does not meet expectations and is rejected, the review cycle will end immediately. The FDACS AgCSS Project Manager will perform a high-level review of the deliverable to find any other fatal flaws then begin the issue process. Part of the issue resolution process will be to determine how to move forward with the deliverable and the effects on the project schedule.

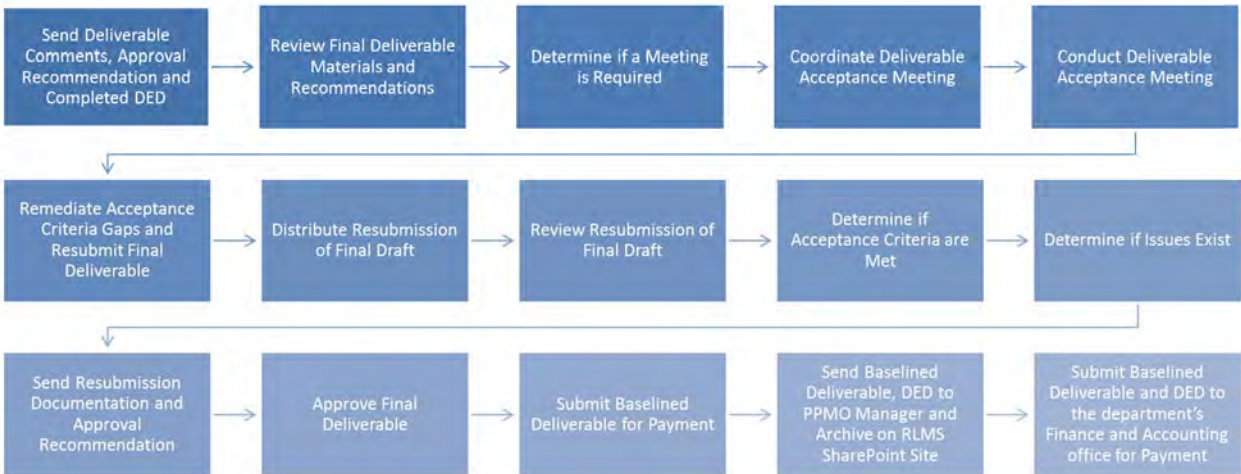
#### 9.7 Deliverable Acceptance Process

The Deliverable Acceptance Process outlines the steps taken to officially accept a deliverable, and if applicable, approve it for payment. Once the deliverable review process is complete, the Deliverable Lead will provide his or her accept/reject recommendation to the FDACS AgCSS Project Manager.

The FDACS AgCSS Project Manager notifies the Contract Manager of acceptance or rejection of the Deliverable. If the FDACS AgCSS Project Manager recommends acceptance, the Contract Manager approves with signature and forwards the final deliverable with a Deliverable Transmittal Form indicating department approval to Contract Management for invoice payment. If the FDACS AgCSS Project Manager does not recommend approval, meetings are conducted with the PPMO Manager, FDACS AgCSS Project Manager, the Vendor Project Manager, and where necessary, the Executive Sponsor to remediate any discrepancies. Once the identified discrepancies are corrected and the final deliverable is approved, the Contract Manager forwards the final deliverable with an updated Deliverable Transmittal Form indicating department approval for invoice payment. This ends the Deliverable Acceptance process.

The following exhibit is a high-level diagram of the Deliverable Acceptance Process.

**Deliverable Acceptance Process**



**Exhibit 48: Deliverable Acceptance Process**

The table below provides detail about the tasks associated with the Deliverable Acceptance Process.

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Send Deliverable Comments, Approval Recommendation and Completed DED	<ul style="list-style-type: none"> <li>The FDACS AgCSS Project Manager sends the completed Deliverable Review Feedback Form, a completed Deliverable Transmittal Form and recommendations for approval to the Contract Manager.</li> </ul>	<ul style="list-style-type: none"> <li>FDACS AgCSS Project Manager</li> <li>Contract Manager</li> </ul>
Review Final Deliverable Materials and Recommendations	<ul style="list-style-type: none"> <li>The Contract Manager reviews the materials and makes an approval determination.</li> </ul>	<ul style="list-style-type: none"> <li>Contract Manager</li> </ul>

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Determine if a Meeting is Required	<ul style="list-style-type: none"> <li>The Contract Manager determines if there are any outstanding or unresolved action items or criteria for approval and if so, requires a Deliverable Acceptance Meeting be scheduled.</li> <li>If Yes, advance to “Coordinate Deliverable Acceptance Meeting”.</li> <li>If No, advance to “Approve Final Deliverable”.</li> </ul>	<ul style="list-style-type: none"> <li>Contract Manager</li> </ul>
Coordinate Deliverable Acceptance Meeting	<ul style="list-style-type: none"> <li>The Deliverable Coordinator schedules the Deliverable Acceptance Meeting with the Contract Manager and Vendor Project Manager and any other relevant project stakeholders required to address and resolve outstanding action items.</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Coordinator</li> <li>Contract Manager</li> <li>Vendor Project Manager</li> </ul>
Conduct Deliverable Acceptance Meeting	<ul style="list-style-type: none"> <li>The Deliverable Coordinator facilitates the Deliverable Acceptance Meeting to ensure all outstanding action items are addressed.</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Coordinator</li> <li>Contract Manager</li> <li>Vendor Project Manager</li> </ul>
Remediate Acceptance Criteria Gaps and Resubmit Final Deliverable	<ul style="list-style-type: none"> <li>The Work Stream Lead updates the Final Deliverable Draft based on the outstanding acceptance criteria and resubmits an updated version of the Final Deliverable.</li> </ul>	<ul style="list-style-type: none"> <li>Work Stream Lead</li> </ul>
Distribute Resubmission of Final Draft	<ul style="list-style-type: none"> <li>Vendor Project Manager redistributes the updated final Deliverable to the designated Deliverable Review Team members.</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Coordinator</li> <li>Deliverable Lead</li> <li>Deliverable Review Team</li> <li>Vendor Project Manager</li> </ul>
Review Resubmission of Final Draft	<ul style="list-style-type: none"> <li>The Deliverable Lead works with the Deliverable Review Team to facilitate the review the Final Deliverable to ensure that the outstanding acceptance criteria have been addressed.</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Lead</li> <li>Deliverable Review Team</li> </ul>



TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Determine if Acceptance Criteria are Met	<ul style="list-style-type: none"> <li>If Yes, the Deliverable Lead documents the resolution of the outstanding acceptance criteria and gives recommendation to approve the final deliverable. If No, the Deliverable Coordinator works with the Vendor Project Manager to remediate acceptance criteria.</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Coordinator</li> <li>Deliverable Lead</li> <li>Vendor Project Manager</li> </ul>
Determine if Issues Exist	<ul style="list-style-type: none"> <li>If Yes, and there are issues that prevent the acceptance of the Final Deliverable, go to the Issue/Action Item Management Process to resolve the outstanding issues.</li> </ul>	<ul style="list-style-type: none"> <li>FDACS AgCSS Project Manager</li> </ul>
Send Resubmission Documentation and Approval Recommendation	<ul style="list-style-type: none"> <li>The FDACS AgCSS Project Manager sends the updated Deliverable Review Feedback Form, Final Deliverable, DED, and Deliverable Transmittal Form for approval to the FDACS Contract Manager.</li> </ul>	<ul style="list-style-type: none"> <li>FDACS AgCSS Project Manager</li> </ul>
Approve Final Deliverable	<ul style="list-style-type: none"> <li>The FDACS Contract Manager approves the Final Deliverable and signs the Deliverable Transmittal Form indicating the Acceptance criteria have been met and the Deliverable has been approved.</li> <li>The FDACS Contract Manager sends an email notification to the Deliverable Stakeholders informing them of the approval.</li> </ul>	<ul style="list-style-type: none"> <li>FDACS Contract Manager</li> </ul>
Submit Baselined Deliverable for Payment	<ul style="list-style-type: none"> <li>The Deliverable Developer baselines the approved Final Deliverable based on the Document Management Process and the Vendor Project Manager submits the Baselined Deliverable to the FDACS Contract Manager and Deliverable Coordinator.</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Developer</li> <li>Vendor Project Manager</li> </ul>

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Post Baselined Deliverable, DED on AgCSS SharePoint Site	<ul style="list-style-type: none"> <li>The Deliverable Coordinator conducts a quality review check to make sure the Baselined Deliverable complies with the Project Document Management standards.</li> <li>If Yes, the Deliverable Coordinator posts the Baselined Deliverable and updated and completed DED on the Project SharePoint Electronic Repository.</li> <li>If No, the Deliverable Coordinator notifies Vendor Project Manager of the deficiency</li> </ul>	<ul style="list-style-type: none"> <li>Deliverable Coordinator</li> <li>Vendor Project Manager</li> </ul>
Submit Baselined Deliverable and DED to the department's Finance and Accounting office for Payment	<ul style="list-style-type: none"> <li>The Contract Manager submits the Baselined Deliverable, the signed DED and the Invoice for Payment to the department's Finance and Accounting office.</li> </ul>	<ul style="list-style-type: none"> <li>FDACS Contract Manager</li> </ul>

**Exhibit 49: Deliverable Acceptance Process Description**

For larger deliverables, the additional signoff and control forms may be required to track approval of iterative and incremental reviews of smaller components of the deliverable across the Deliverable Review Teams and Sub-Teams. If the Deliverable Reviewers are satisfied the vendor deliverable has met all contractual obligations, the FDACS Contract Manager finishes the acceptance process by notifying the Deliverable Developer of deliverable acceptance and beginning the invoicing process.

Should the FDACS PPMO Manager or Contract Manager have questions regarding the recommendation and supporting documentation provided to substantiate the acceptance of the deliverable, a contract review meeting will be held to address any outstanding concerns. The FDACS Contract Manager is responsible for notifying the Vendor Project Manager and the FDACS AgCSS Project Manager of the concern. The FDACS AgCSS Project Manager is responsible for coordinating the Contract Review Meeting with the FDACS Contract Manager, the Vendor Project Manager, the Work Stream Lead and the Executive Sponsor as appropriate. The FDACS Contract Manager and FDACS AgCSS Project Manager are responsible for working with the Vendor Project Manager and the Work Stream Lead to resolve any concerns as well as provide the necessary documentation to demonstrate contractual compliance for acceptance and payment of the deliverable.

### 9.7.1 Tracking Changes and/or Updates to Approved Deliverables

For those deliverables requiring scheduled updates as part of their standard lifecycle as well as for those deliverables requiring changes based on upstream or downstream modifications to other integrated deliverables in the schedule, it is necessary to track interim changes as they occur in between the scheduled updates to the approved deliverables. How interim changes are tracked will be defined and agreed upon prior to the approval and baselining of a deliverable. Once a deliverable has been approved and baselined, the deliverable is submitted to the FDACS AgCSS Project Manager, posted and stored in the AgCSS Project SharePoint site. The requirements for subsequent updates and changes to approved and baselined project deliverables as well as the party responsible for the updates and changes should be defined in the DED.

## 10 Human Resource Management

The Human Resource Management Plan defines how the FDACS PPMO and AgCSS PMO will plan, develop, and manage the resources staffed to support the Project. The Human Resource Management Plan is further detailed in the On-boarding Process, a separate management plan).

The AgCSS Human Resource (HR) Management Plan describes the staffing processes and procedures to be followed during the Project to plan for and control project staffing for the remaining effort of the AgCSS Project including procurement, planning, design, development, implementation and ongoing operations and maintenance.

Each section below provides managers with key information to make informed staffing decisions.

The HR Management Plan (as part of the PMP) is reviewed and updated prior to the beginning of each release as scheduled in the Master Project Schedule during the execution of this project.

### 10.1 Roles and Responsibilities

The table below describes the resource management roles and associated responsibilities.

ROLE	RESPONSIBILITIES
FDACS PPMO Manager	<ul style="list-style-type: none"> <li>▪ Manages the staffing process as defined in this document</li> <li>▪ Defines and request staffing budget</li> <li>▪ Directs the Project Managers to perform the individual tasks necessary to manage the project staff successfully</li> <li>▪ Reviews and approves/rejects staffing requests</li> </ul>
Project Managers (Department and Vendors)	<ul style="list-style-type: none"> <li>▪ Identifies resource needs</li> <li>▪ Identifies resource training needs</li> <li>▪ Obtains resources</li> <li>▪ Allocates and releases resources</li> <li>▪ Complies with laws and department HR policies</li> </ul>
IT Governance Team	<ul style="list-style-type: none"> <li>▪ Ensures major staffing issues are resolved and major staffing risks are mitigated in a timely fashion</li> </ul>
AgCSS PMO	<ul style="list-style-type: none"> <li>▪ On-boards FDACS and vendor staff</li> <li>▪ On-boards/trains project staff</li> <li>▪ De-commits FDACS and vendor staff</li> <li>▪ Provides project communications for project staff (department and vendor)</li> <li>▪ Assists in identifying project resource needs</li> <li>▪ Conducts workshops to assist Work Stream Leads in assigning resource allocation for schedule tasks, as needed</li> </ul>

- Provides mentoring and technical support to the Vendor Schedule Coordinators
- Reviews Vendor Staffing Reports against resource assignments in Master Project Schedule
- Analyzes resource allocations and identify assignment over-allocations

**Exhibit 50: Human Resource Management Roles and Responsibilities**

**10.2 Human Resource Management Process**

The Human Resource Management process provides the direction to coordinate and manage the personnel assigned to perform the work for the Project. Managing Project staff entails Project leadership providing human resources with direction, guidance, and support while the team performs their work with a clear goal of meeting the Project's objectives. Following a defined human resources management strategy provides more effective communications, improved staff performance, increased quality levels in work products, and increased control of schedule and budget performance. This section addresses the components of the Human Resource Management Lifecycle as depicted in the exhibit below including:

- Determining how the team allocates human resources to the project;
- Defining the procedures for on-boarding and de-committing human resources;
- Providing support for handling resource-related issues, such as team development.



**Exhibit 51: Human Resource Management Lifecycle**

**10.2.1 Plan Human Resources**

Planning for human resources is performed during the project initiation phase by the department, the AgCSS PMO and Vendor Project Managers using the WBS, the Staffing Report (i.e., personnel roster) and the resource requirements as defined during the finalize schedule development process (see Schedule Management Plan for more details). Also, taken into consideration during planning for human resources are the roles and skill sets needed to complete work packages.

Each vendor on the Project will provide initial project schedules to perform their respective scope of work that will be incorporated into the Master Project Schedule. In addition, the vendors and department will provide a Staffing Report that will include personnel assigned to the Project that will serve as the roster for onboarding and roll-off of Project personnel throughout the life of the Project.

The Schedule Management Plan defines the process for creating and updating the Master Project Schedule for the AgCSS Project. To create the schedule, the Project Management Team started by creating a detailed Work Breakdown Structure (WBS). The staffing reports use the WBS and schedule as a foundation to determine the types and parameters of resources needed to complete the Project. Resource requirements were determined from an analysis of project activities and the assumptions made when estimating activity definitions, duration, and cost. The resource requirements include department staff, consulting services, vendors, and any other personnel.

Each task over 8 hours contained in the AgCSS Master Project Schedule (AgMPS) must have resources or development role assigned. Named resources are preferred in the 6 month rolling wave cycle. For certain GCOM design, development and testing task performed by the GCOM Development Center, resources assignment is managed by role and actual task assignment will be made in JIRA, prior to the work starting. This enables GCOM to utilize its bench model for configuration sprint development work. Role based resources will be used for months exceeding the rolling 6-month cycle. Each task can have multiple resources or roles assigned, depending on the requirements needed to complete the task. Task resource and role needs are defined by the work streams through the rolling wave process (**see Section 6 Schedule Management Plan** for details) and recorded in the Master Project Schedule. Additionally, as new tasks are identified, they require resource assignments before being recorded into the MPS.

### 10.2.2 Acquire Human Resources

It is the responsibility of the department and vendors to acquire the appropriate staff to perform the scope of services outlined in the contract(s) to meet the project objectives. The vendors are responsible for hiring and training staff for the project to meet the contractual obligations for all staff to complete the work outlined in their contract scope of services.

The AgCSS PMO and the Project Managers will work together to identify and acquire an appropriate mix of human resources for the project using the Human Resources Management process; organizational charts; resource availability, experience, and skill level; and job descriptions.

Human resource acquisition will occur throughout the project's lifecycle, with human resources onboarding at various times. A core team will start at the beginning of the project while others will be brought on just prior to the start of specific work. Additionally, new resources may be brought in to replace existing human resources. Vendor Project Managers must provide resumes and obtain approval for human resource changes with both the AgCSS PMO and the department.

The Staffing Reports submitted monthly to the FDACS AgCSS Project Manager will contain project resources including staff role, and planned start and roll-off dates. Additional details and a sample Staffing Report can be found in the Schedule Management Plan. The Staffing Report will be maintained on the Project SharePoint site.

Due to the nature of long projects, not all resources will be known, named individuals at the start of the project. A rolling wave process (described in **Section 6 Schedule Management Plan**) will be used to identify

named resources within the six- (6) month period for team or role placeholders that are provided in the Master Project Schedule. The initial Staffing Report may include roles without named individuals for downstream phases of the Project. Monitoring of the Staffing Report will be conducted on a monthly basis to identify any resource issues or risks raised as a result of variances in the staffing actuals versus forecast for staff.

Each week, the respective Schedule Coordinators will be providing their status updates to their team's tasks (current and future tasks). The status updates include any resource assignment or utilization changes to be reflected in the Master Project Schedule. The Master Project Schedule will be the single repository for all project tasks and assignments containing planned (forecast) and actual information for tasks and resource assignments.

### **10.2.3 Manage Human Resources**

The transition of team members from one role to another, into operational and maintenance activities, or out of the Project, may take place throughout the duration of the Project. Team members will work closely with experienced staff and vendor staff to gain as much practical knowledge as possible. The AgCSS Project Team must manage transition activities to ensure the proper transfer of responsibility and knowledge.

The appropriate department or vendor project manager is responsible for ensuring any pending work from a departing resource is transferred to a remaining staff member to ensure timely transition and completion of the work. If appropriate, the receiving staff may request additional training to support the new responsibilities. An appropriate transition period must be developed for the departing resource.

The Project Schedule Manager will be notified of upcoming departures or arrivals of new resources through the Staffing Report identifying resources (at least by roles) for the Project. Each new resource will be on-boarded and oriented to the Project by the AgCSS PMO as described in the on-boarding documentation located in the Project SharePoint site. This documentation includes the on-boarding for Vendor Key Named Staff.

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## 11 Communications Management

The Communication Plan outlines recommended communications to support the AgCSS Project. Communication (including stakeholder feedback) is important to Project success and, as such, requires careful planning and delivery to ensure selected stakeholders and stakeholder groups receive appropriate information. In addition, communication is important for demonstrating executive support and commitment, building overall buy-in and commitment for the Project, and ensuring that stakeholders know what is expected of them at key points during the implementation. For the AgCSS Project, an Organizational Change Management and Workforce Transition Plan were developed as a separate document – a communication plan is part of that document. The subsections that follow focus on the project-level communications management. Broader stakeholder communications management is covered separately in the larger, more comprehensive Organizational Change Management Communication Plan.

This section documents the formal communication process developed for the AgCSS PMO. This Communication plan defines:

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

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

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

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

### 11.1 Scope

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



The target audience for this plan includes:

- Project Participants
- Project Internal Stakeholders
- AgCSS Project Team Members

All other vendor and departmental staff are excluded. The communications strategies and procedures for external stakeholder communications are outside of the scope of this document and are addressed in the Organizational Change Management Communication Plan.

## 11.2 Roles and Responsibilities

Communication is an ongoing project activity directed toward internal department stakeholder groups and the FDACS and vendor project teams. The project resources will work closely with stakeholder groups to ensure that communication needs are met and are adjusted according to feedback received. Roles and responsibilities for project communications are listed in the table below.

### Exhibit 52: Project Communication Roles and Responsibilities

ROLE	RESPONSIBILITIES
FDACS Executive Sponsor	<ul style="list-style-type: none"> <li>■ Provides input and guidance about stakeholder communications to the PPMO Manager</li> <li>■ Champions the Project within the department</li> <li>■ Serve as official interface and communications point with IV&amp;V</li> </ul>
FDACS PPMO Manager	<ul style="list-style-type: none"> <li>■ Provides communications input and guidance to the FDACS AgCSS Project Manager</li> </ul>
FDACS AgCSS Project Manager	<ul style="list-style-type: none"> <li>■ Member of the project team, providing input and guidance to the team about Project stakeholder communication needs and strategies</li> <li>■ Provides official communication to Work Stream Leads for dissemination to the stakeholders</li> <li>■ Provides written status report to status meeting attendees</li> <li>■ Delivers verbal report during status meetings</li> </ul>
FDACS Project Team	<ul style="list-style-type: none"> <li>■ Provides input to the FDACS AgCSS Project Manager about project stakeholder communication needs and strategies</li> <li>■ Delivers verbal report during status meetings</li> </ul>
GCOM Project Team	<ul style="list-style-type: none"> <li>■ Members of the project team, providing input and guidance to the team about stakeholder communications needs, strategies, and events</li> <li>■ Coordinate the collection and dissemination of project information to stakeholder audiences</li> <li>■ Deliver verbal report during status meetings</li> <li>■ Create status report</li> </ul>

### 11.3 Required Communications

In addition to the project status meeting and as-needed team meetings, the AgCSS Project Team will also capture key project information necessary to efficiently and effectively update internal and external project stakeholders on relevant project details. Regular status reporting is a required communication method for delivering project information.

### 11.4 Project and Stakeholder Level Communications

Below highlights the Project and Stakeholder Level Communication held on-going throughout the project life cycle.

COMMUNICATION	FREQUENCY	OWNER
Status Report Meetings	<ul style="list-style-type: none"> <li>Follows section 12.1 Project Status Report table</li> </ul>	<ul style="list-style-type: none"> <li>AgCSS Project Manager</li> </ul>
Issue and Risk Management Meeting	<ul style="list-style-type: none"> <li>Biweekly, PMO</li> </ul>	<ul style="list-style-type: none"> <li>AgCSS Project Manager</li> </ul>
Governance Meeting	<ul style="list-style-type: none"> <li>Monthly</li> </ul>	<ul style="list-style-type: none"> <li>AgCSS PPMO Manager</li> </ul>
Organizational Change Management Team	<ul style="list-style-type: none"> <li>Weekly</li> </ul>	<ul style="list-style-type: none"> <li>AgCSS OCM Lead</li> </ul>
Sprint Planning, Sprint Retrospective (Lesson Learned), Team Standups	<ul style="list-style-type: none"> <li>Planning and retrospectives are conducted every four weeks</li> <li>Team standups are conducted between two to four times per week as per the responsible work lead.</li> </ul>	<ul style="list-style-type: none"> <li>GCOM Project Manager or designee</li> </ul>
Infrastructure, Release Management Team Meetings	<ul style="list-style-type: none"> <li>Will be held bi-weekly or monthly depending on project requirements</li> <li>Will start in approximately Sprint 14.</li> </ul>	<ul style="list-style-type: none"> <li>GCOM Operations Manager or as designated by the GCOM Project Manager.</li> </ul>
Development/Architect Leads Meetings	<ul style="list-style-type: none"> <li>Weekly or as needed during the system design and configuration sprint phases of the project.</li> </ul>	<ul style="list-style-type: none"> <li>GCOM Architect and Development Manager</li> </ul>

## 12 Project Status Reporting

This section focuses on internal Project status reporting, the source for all other reports completed by the AgCSS PMO and the FDACS PPMO.

Status reporting serves as the focal point for project communications and as the integration point for the Project Management disciplines and processes described throughout the PMP. The AgCSS Project uses a formal process for status reporting to communicate individual and team project status vertically through the project hierarchy. The Status Reporting process has been developed to give Executive Management, Project Management, and the Work Streams a view of the progress and status of the AgCSS Project planning, procurement, design, development, and implementation efforts.

### 12.1 Project Status Reports

The status report utilized over the course of the AgCSS Project lifecycle to monitor and report the health of the Project is the Weekly or Bi-Weekly Status Report. The frequency will be determined by the PPMO. Initially the Project will start with Bi-Weekly reporting cycle, and if needed move to a weekly cycle. For the AgCSS project there are three Project Status Reports produced at the weekly or bi-weekly level (the project regular detailed status report), a Monthly Status Report, and a Quarterly Status Report.

REPORT	DESCRIPTION	FREQUENCY
AgCSS Project Status Report	This is the regularly produced detail Project Status Report delivered	Weekly or Bi-weekly per PPMO guidance and delivered in advance of the regularly scheduled Project Status Meeting (see Communications Action Plan for delivery date and audience)
AgCSS Project Monthly Status Report	This report is a summary of the month's project activities for executive management. The report is a summary of the month's weekly or bi-weekly Project Status Reports and provides a view of the project performance over the prior 3 months.	Monthly (see Communications Action Plan for delivery date and audience)
AgCSS Project Quarterly Report	This report is a summary of the quarter (3 months) and provides a view of project performance over the prior 3 quarters). This report is delivered to the Florida State Legislature.	Quarterly, (see Communications Action Plan for delivery date and audience)

#### Exhibit 53: AgCSS Project Status Reports

The AgCSS Project's primary recurring status management output is the Project Status Report. The Project Status Report template includes the standard report sections for the project, which represent key discipline

areas of project management. The information reported under each section is presented at task-level detail, or at the milestone- or deliverable-level, depending on the criticality of the activity at a given point of the project lifecycle. The Status Report template can be found in the Project SharePoint site.

## 12.2 Roles and Responsibilities

The Status Reporting Process involves many individuals across the AgCSS Project. The roles and responsibilities of the key individuals in the Status Reporting process are described below.

ROLE	RESPONSIBILITIES
<ul style="list-style-type: none"> <li>▪ Project AgCSS PMO Analyst</li> </ul>	<ul style="list-style-type: none"> <li>▪ Manages Status Reporting Process</li> <li>▪ Responsible for development of AgCSS Project Status Report</li> <li>▪ Monitors and provides oversight of all activities involved in the preparation, distribution, and review of the Status Report</li> <li>▪ Coordinates the consolidation of section/vendor status reports</li> <li>▪ Escalates issues with incomplete vendor status report</li> </ul>
<ul style="list-style-type: none"> <li>▪ AgCSS Project Manager</li> </ul>	<ul style="list-style-type: none"> <li>▪ Conducts final review of Project Status Report</li> <li>▪ Ensures the staff complies with the status reporting processes</li> <li>▪ Ensures major issues are resolved and major risks are mitigated in a timely fashion</li> <li>▪ Provides Risks and Issues, Action Items, Change Requests and Lessons Learned to the Project Status Report</li> </ul>
<ul style="list-style-type: none"> <li>▪ AgCSS Schedule Manager</li> </ul>	<ul style="list-style-type: none"> <li>▪ Coordinates the consolidation of schedule section/vendor status reports</li> <li>▪ Integrates schedule updates from vendor status reports into the Project Status Report</li> <li>▪ Tracks plan performance metrics</li> <li>▪ Analyzes impacts of schedule and resource changes, document any risks</li> <li>▪ Analyzes any exceptions submitted with task updates</li> </ul>
<ul style="list-style-type: none"> <li>▪ GCOM Project Manager</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reviews and provides inputs into the status reports.</li> <li>▪ May request project work items to be placed on the status report for review including but not limited to risk, issues, action items, lessons learned and decisions, and critical change control items.</li> <li>▪ May attach supplement information or project metrics to the status report not covered by the AgCSS PMO.</li> <li>▪ Notes exception to status reports via formal written communication.</li> </ul>
<ul style="list-style-type: none"> <li>▪ FDACS Budget Liaisons</li> </ul>	<ul style="list-style-type: none"> <li>▪ Provides the financial and budget information to the Project PMO for inclusion in the Project Status Report</li> </ul>
<ul style="list-style-type: none"> <li>▪ Executive Sponsor</li> <li>▪ PPMO Manager</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reviews status, major risks, and issues</li> <li>▪ Assists with the resolution of major issues and the mitigation of major risks</li> </ul>
<ul style="list-style-type: none"> <li>▪ IT Governance Team</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reviews status, major risks, and issues on a monthly basis</li> <li>▪ Provides input for decisions, risk and issues, major risks</li> </ul>

### Exhibit 54: Status Reporting Process Roles and Responsibilities

#### 12.3 Status Reporting Matrix

The exhibit below details the section components for the Project Status Report. The template for the Project Status Report can be found on the AgCSS Project SharePoint website.

STATUS REPORT SECTION	SOURCES / CONTRIBUTORS
Project Status	<ul style="list-style-type: none"> <li>▪ Project PMO Team</li> </ul>
Project Summary	<ul style="list-style-type: none"> <li>▪ Project PMO Team</li> </ul>
Schedule Major Milestones/Work Stream / Activities <ul style="list-style-type: none"> <li>▪ Completed</li> <li>▪ Late</li> <li>▪ In-Progress or Future Milestones/ Activities</li> </ul>	<ul style="list-style-type: none"> <li>▪ Project PMO Team</li> <li>▪ Vendor Teams</li> <li>▪ AgCSS Project Team (Section Status Report Coordinators)</li> </ul>
Risks (Risk Rating of 15+ or Increasing)	<ul style="list-style-type: none"> <li>▪ Project PMO Team</li> <li>▪ Vendor Teams</li> <li>▪ AgCSS Project Team (Section Status Report Coordinators)</li> </ul>
Project Issues	<ul style="list-style-type: none"> <li>▪ PPMO Team</li> <li>▪ Vendor Teams</li> <li>▪ AgCSS Project Team</li> </ul>
Action Items (High and Medium only)	<ul style="list-style-type: none"> <li>▪ PPMO Team</li> <li>▪ Vendor Teams</li> <li>▪ AgCSS Project Team</li> </ul>
Key Decisions or Questions	<ul style="list-style-type: none"> <li>▪ PPMO Team</li> <li>▪ Vendor Teams</li> <li>▪ AgCSS Project Team</li> </ul>
Scope Changes	<ul style="list-style-type: none"> <li>▪ PPMO Team</li> <li>▪ Vendor Teams</li> <li>▪ AgCSS Project Team</li> </ul>
Lessons Learned	<ul style="list-style-type: none"> <li>▪ PPMO Team</li> <li>▪ Vendor Teams</li> <li>▪ AgCSS Project Team</li> </ul>

### Exhibit 55: Status Reporting Matrix

### 13 Organizational Change Management Plan

Organizational Change Management (OCM) is a comprehensive set of practical and proven strategies, tools, and tactics designed to mitigate the business and human risks associated with major organizational changes. It is the process of aligning people with changes in strategy, business processes, and technology to help an organization achieve goals associated with a particular change initiative. Effective OCM is associated with an improved probability of project success, increased management buy-in, and higher end-user acceptance than if OCM were not applied.

A comprehensive Organizational Change Management Plan and Workforce Transition Plan was developed as a separate document. Please refer to this deliverable on the AgCSS Project SharePoint site for more information.

## 14 Risk Management Plan

The section describes the approach that AgCSS Project will utilize to identify, analyze, and manage risks.

Risk management will be an ongoing process conducted throughout the life of the project. The process begins with identifying, assessing, and developing response plans for significant risks. It continues with regular risk monitoring, ongoing identification of new risks, and timely implementation of mitigation plans.

This Risk Management process addresses identified risks requiring visibility at the highest levels of the project and will be managed by the combined Project Management teams of FDACS and its contractors.

The project team’s approach to Risk Management includes the following tasks:

- identifying and categorizing project risks (Identify);
- assessing and prioritizing the risks (Analyze) so they are manageable;
- developing a response strategy and assigning responsibility (Plan);
- tracking the risks by reviewing them at key project milestones (Track);
- implementing the defined response strategies as required (Control);
- and, most importantly, communicating the risks and strategies on an ongoing basis throughout the life of the Project.

Risk management processes address internal risks (those under the control or influence of the project team, such as quality of deliverables, cost, schedule, or technical risks) as well as external risks (those outside the control of the project team, such as governmental legislation or weather).

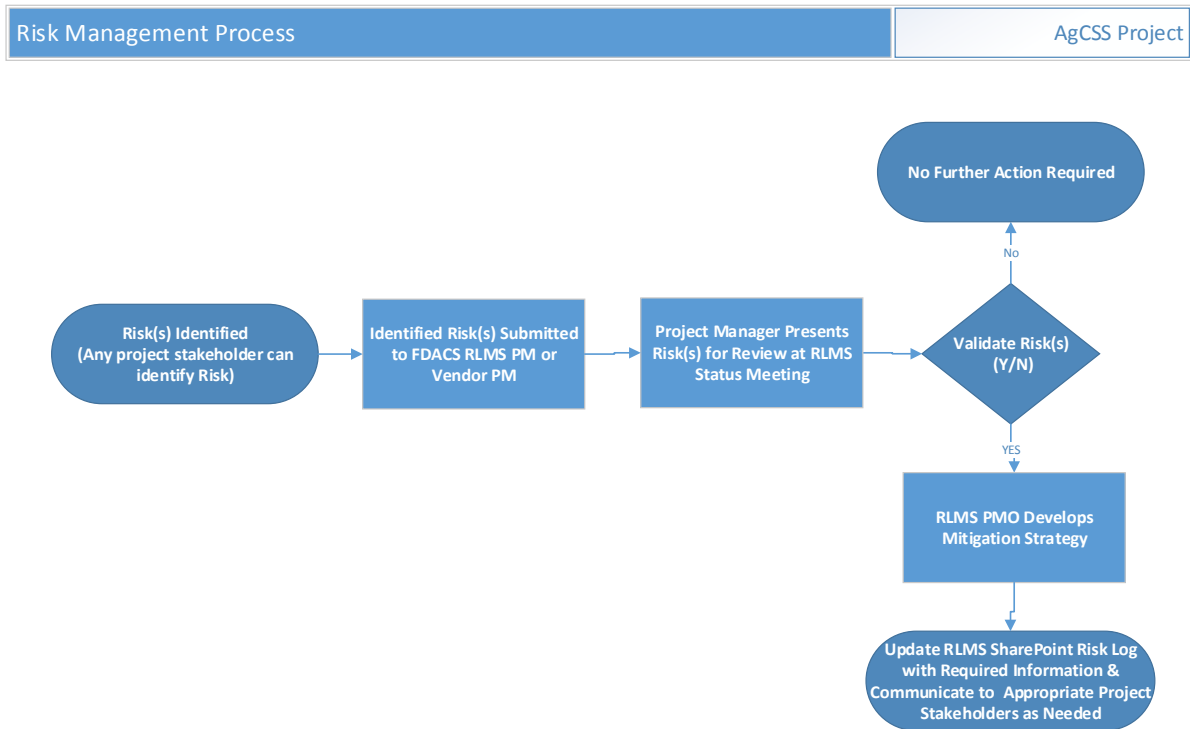
### 14.1 Roles and Responsibilities

The roles and responsibilities relating to Risk Management are presented as follows in the exhibit below.

ROLE NAME	RESPONSIBILITIES
Risk Originator	Identifies risk
Risk Owner	Validates and registers risk in Risk Log, closes risk
Risk Management Team (FDACS and contractor Project Management teams or designees)	Performs risk analysis, approves risk response plans, monitors risk and approves closure of risk
Risk Owner (TBD by Risk Management Team)	Formulates and executes risk response plan

**Exhibit 56: Risk Management Roles and Responsibilities**

The exhibit below is a graphical representation of the risk management workflow. The exhibit depicts the various processes that a risk will proceed through during risk management as well as the identification of the individual or team responsible for the process step.



### Exhibit 57: Risk Management Process

As depicted above, an identified risk is first validated by the Risk Coordinator to make sure the information is complete and that the risk is not a duplicate. Once verified the risk information is logged into the Risk Log and given a unique identifier. The Risk Management Team (RMT) conducts the risk qualitative analysis to determine the risk probability and impact. Risks Management will be documented using JIRA.

Next, the risk Tolerance ranking is determined based on probability and impact. An appropriate level of response planning will be defined by the RMT and the assigned Risk Owner will develop the risk response plan.



Approved response plans will be put into execution and monitored to completion. Risks will eventually be closed, either because they have passed their triggering event and no longer pose a threat to the project or because the risk has occurred causing the risk contingency plan to be triggered, resulting in the activation of the risk also known as an issue. Risks will be documented and managed using the issue tracking system in JIRA.

The project risk management will consist of the key activities listed in the table below:

JIRA RISK ITEM WORK FLOW STEP	RISK MANAGEMENT ACTIVITY	APPROACH	PURPOSE
Open	Identify	Determine whether potential event or condition may impact at least one project objective	Categorize potential events and conditions that may impact the Project as risks so that they may be managed appropriately
In Progress	Analyze	Determine the consequence of risks listed and calculate the risk tolerance	Transforms the risk data into decision making information
In Progress	Plan/Mitigate	Determine desired risk strategies and actions, and assign responsibility	Translates the risk information into strategies and mitigation actions
Monitor	Track	Review and re-examine risks when project situation changes or key milestones are achieved	Monitors risk indicators and mitigation actions
Monitor	Control	Implement planned actions when risk indicators manifest; determine mitigation effectiveness for continuous improvement	Corrects and ensures implementation of mitigation actions as required
Monitor	Communicate	Discuss and review project risks and plans in project status, or other scheduled meetings, when the project situation changes or key milestones are achieved	Enables sharing of critical information throughout the Project

**Exhibit 58: Risk Management Activities**

## 14.2 Risk Identification

The risk identification process involves determining which risks might affect the Project and documenting their characteristics. The following sections detail the approach that will be used for risk identification. It includes:

- Techniques for Risk Identification
- Categorizing Risks
- Capturing Identified Risks

## 14.3 Techniques for Risk Identification

Several techniques can be used to identify project risks. Risk identification is the process by which the perception of a potential problem is translated into recorded information containing sufficient detail to enable effective assessment of the risk and to support subsequent management decisions.

Risks can be identified at every level of the organization. All team members may recognize risks in the course of their daily work and must bring potential risks to the attention of their Work Stream Leads or managers as they identify them. Risks may also gain visibility in project reviews with managers or executives, at meetings held with co-workers, or during interactions with stakeholders.

The techniques used to identify risks using the approaches defined above include:

- **Information Gathering** – Both structured and unstructured approaches will be used to gather project risks.
  - › **Structured** – The FDACS SharePoint Risk Log will be reviewed during the project status meetings to assess project risks. Members will consider risks identified. On a monthly basis, the risk assessment questionnaire (Appendix A) will be reviewed to ascertain whether any existing risks need to be revised or new risks identified as a result of changes in the Project or related events.
  - › **Unstructured** – Project risks will be solicited during project meetings, interviews, and workgroups. Identified risks will be brought to the attention of the RMT for consideration.
- **Documentation Reviews** – Individual RMT members will gather project specific information from other relevant documents to help identify risks such as project plans and deliverables and other internal and external risk assessments.
- **Assumption Analysis** – Risks will be identified as the RMT members assess the validity of assumptions made in project deliverables and other project documentation, from an accuracy, consistency, or completeness perspective.

### 14.3.1 Categorizing Risks

Project risks will be grouped into categories, assigned ownership and analyzed for implementation of common mitigation approaches across the project risks, as appropriate. If a risk spans multiple categories, it will be categorized based on the area of primary impact.

### 14.3.2 Capturing Identified Risks

Project risks will be captured as a collaborative effort between FDACS and its contractor’s teams using the AgCSS JIRA Risk Log. The Risk log will be maintained by the assigned Risk Owner. Once the risk is entered into JIRA and a unique identifier (Risk item #) will be assigned. The Risk Owner will be responsible for maintaining the Risk Log.

JIRA provides the following facilities for risk management:

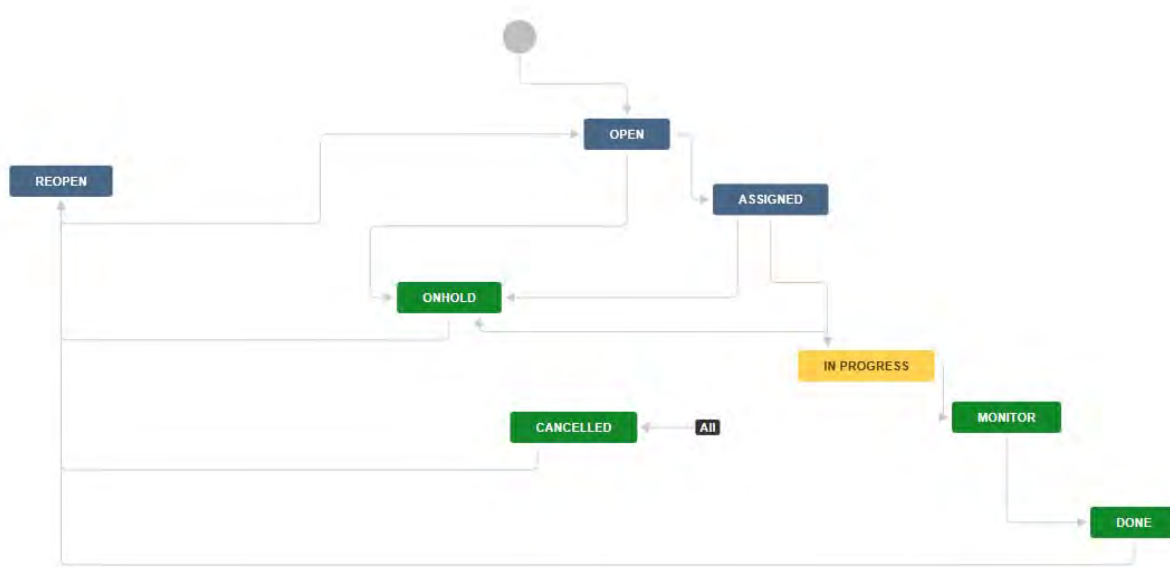
- A risk work item that any team member can use to initiate a risk work item for AgCSS PMO review.
- A risk dashboard that summarized risk work items captured, communicated or under review.
- A risk list which can be downloaded to excel.

Key fields used with the risk management work item include:

Field	Description
<b>JIRA ID</b>	Unique identification number for the work item in JIRA.
<b>Summary</b>	Brief description/title of the work item.
<b>Priority</b>	Priority of the work item such as critical, high, medium or low.
<b>Impact</b>	Measures severity of an issue.
<b>Probability</b>	Probability of a risk actualizing into an impactful project issue.
<b>Description</b>	WIKI style memo field to capture detailed description of the work item.
<b>Labels</b>	Free form XML tag that can be used to associate the work item with key words that can be used to search across all work item.
<b>Resolution (Work Item Closure) Notes</b>	Memo field used to capture closing status comments.
<b>Links</b>	Data structure in JIRA that creates relationship between work items.
<b>Comments</b>	Comment facility that allow for memo type comments. Each comment is author and date stamped.
<b>Owner</b>	Project team member that owns the work item; not necessarily the team member with the current action on the work item.
<b>Assignee</b>	Project team member that is assigned the next action on a work item.
<b>Reporter</b>	Project team member that reported the work item. May not be the same person that enters the work item.
<b>Source</b>	Source of risk work item. Click all that apply.
<b>Impact Summary</b>	Describe the potential impacts of the risk work item.
<b>Risk Rating</b>	Number 1 to 25. Multiple severity by probability, the higher the number, the more urgent the risk response. Must be maintained manually by the AgCSS PMO.
<b>Risk Date</b>	<b>Trigger</b> Date that an open risk will be converted to an issue.

Field	Description
<b>Risk Response Plan</b>	Narrative describing the process to respond to the risk work item.
<b>Date Identified</b>	Date work item was identified, not necessarily the day it was entered into JIRA
<b>Resolved "Date"</b>	Date a work item is resolved. Resolved in JIRA means final disposition of the work item. Exception does apply to development work items.

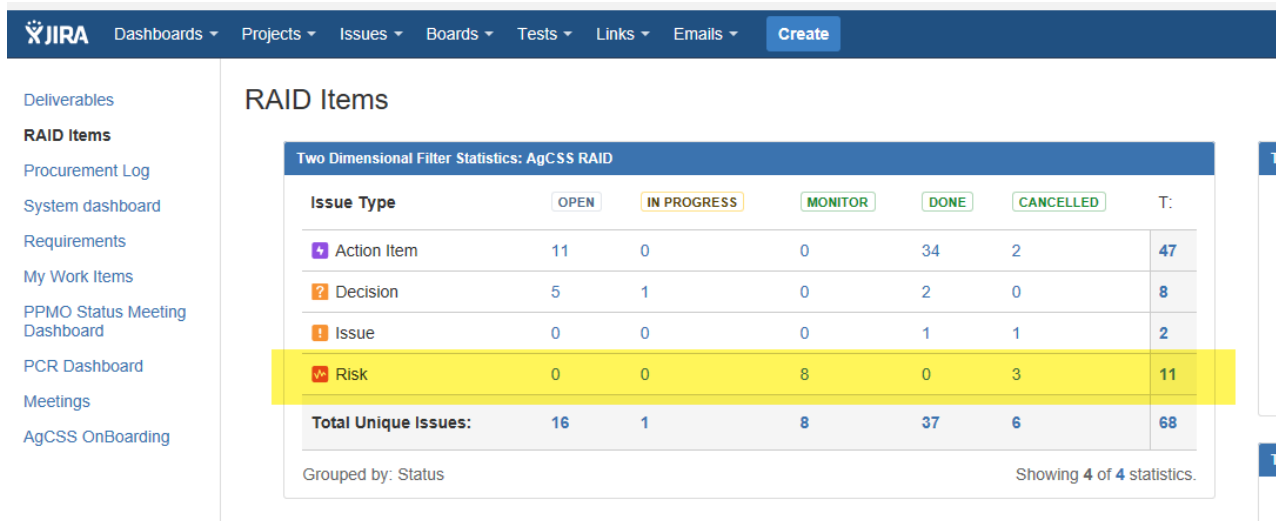
A work flow is used to support risk process management. The work flow is illustrated below:



Workflow status codes are described below.

ID	Step	Description and Workflow Validation Requirements.
1	OPEN	A Risk that is new is in "Open" Status. The risk has not been assigned to an owner or an assignee.
2	ASSIGNED	The Risk is assigned to an assignee who will follow this risk until the next step or to resolution.
3	IN PROGRESS	The Risk is in progress of being analyzed for impact.
4	MONITOR	The Risk is mitigated, and is being monitored by the joint PMO.
5	DONE	This Risk has a Risk Response and is now closed and in "Done" status.
6	ON HOLD	The Risk is put on hold until it can be re-opened.
7	CANCELLED	The Risk item is cancelled.
8	REOPEN	Risks that were put on hold or cancelled can be re-opened. After Risk is "Re-opened", it will either go back to the ASSIGNED, ON HOLD or CANCELLED.

## 14.4 Risk Analysis



The screenshot shows the JIRA RAID Items dashboard. The main table displays 'Two Dimensional Filter Statistics: AgCSS RAID' with columns for Issue Type, OPEN, IN PROGRESS, MONITOR, DONE, CANCELLED, and T. The 'Risk' row is highlighted in yellow.

Issue Type	OPEN	IN PROGRESS	MONITOR	DONE	CANCELLED	T:
Action Item	11	0	0	34	2	47
Decision	5	1	0	2	0	8
Issue	0	0	0	1	1	2
Risk	0	0	8	0	3	11
<b>Total Unique Issues:</b>	<b>16</b>	<b>1</b>	<b>8</b>	<b>37</b>	<b>6</b>	<b>68</b>

Grouped by: Status      Showing 4 of 4 statistics.

Once project risks and opportunities have been identified, analysis will be performed to determine relative priorities and to develop a prioritized risk list for planning the appropriate level of response to the risks.

A qualitative analysis will be performed on each risk. After an initial prioritization, a decision will be made by FDACS and contractor teams on whether or not the risk warrants additional detailed analysis using quantitative techniques to further assess the probability and potential impact of the risk event on the project objectives.

A probability value is determined using the likelihood of occurrence, based on analysis by the PMT. The following exhibit describes the Risk Probability Values.

PROBABILITY VALUE	LIKELIHOOD OF OCCURRING
1- Low	Unlikely
3- Medium	Likely
5- High	Very Likely

**Exhibit 59: Risk Probability Values**

An impact value is determined using the guidelines below, based on analysis by the PMT. The table below provides an overview of the Risk Impact Values.

IMPACT	DIMENSIONS TO CONSIDER			
	COST	SCHEDULE	SCOPE	QUALITY

1- Low	Little (<10%) to no impact on Project cost	No or little impact to project schedule	Minor clarification to existing scope	Project quality is not jeopardized
3- Medium	Impact to project costs is less than 20%	Schedule impact is possible	Scope change is noticeable, but not deemed significant	Impact to project quality possible
5- High	Impact to project costs is greater than 20%	Schedule and deliverable due dates will be impacted	Scope change is deemed significant	Impact to project quality very likely

### Exhibit 60: Risk Impact Values

A Risk Rating is determined by multiplying the probability score by the impact score. The risk rating will be managed manually using the Risk Rating field in JIRA by the AgCSS PMO. Risks with a risk rating of 15 or higher will be flagged by the AgCSS PMO for inclusion in the project status reporting. The table below provides the products of this exercise for each probability/impact combination.

RISK SCORE		PROBABILITY		
		1- Low	3- MEDIUM	5- HIGH
IMPACT	1- Low	1	3	5
	3- Medium	3	9	15
	5- High	5	15	25

### Exhibit 61: Risk Rating Scores (Probability x Impact)

## 15 Issue/Action Item Management

An Issue is defined as a project-related problem that is currently occurring or is about to occur. An issue needs to be addressed and resolved as soon as possible to avoid negative project impacts. Action Items are defined as independent tasks, which require follow up, but are not part of deliverables, risk, issues, or decisions, and are not in the project schedule. Typically, action items are recorded when there is an activity that has a due date greater than a week out, or will require coordination between multiple individuals.

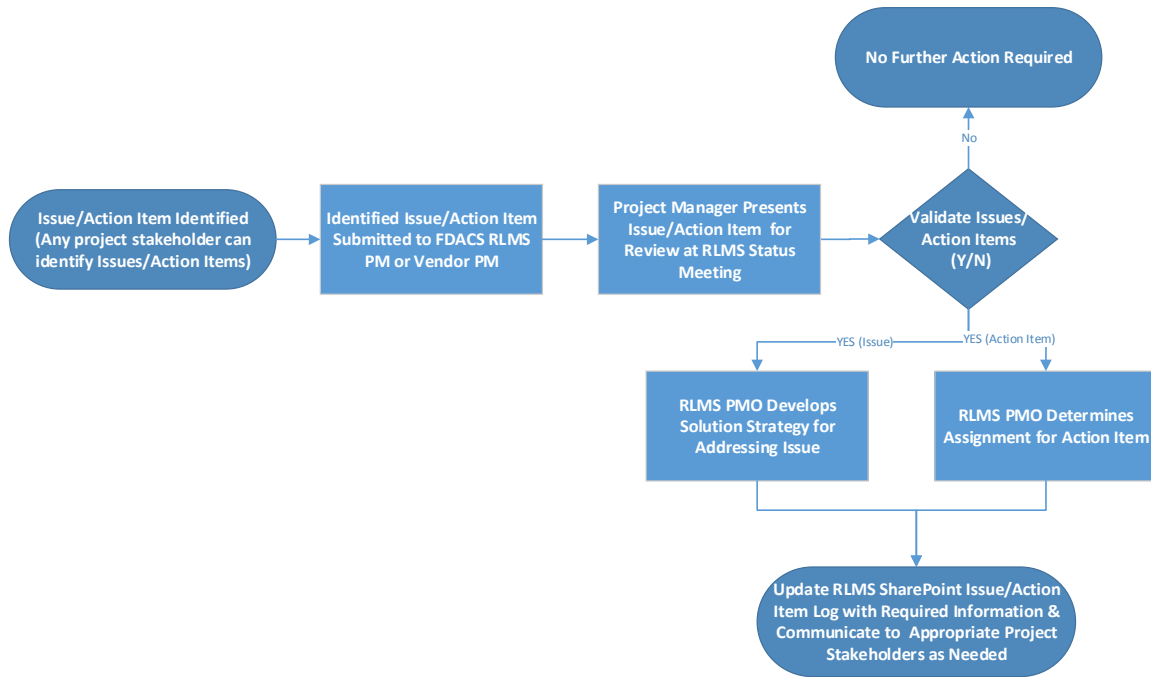
Disciplined management of Issues and Action Items enables a project team to effectively resolve the issues, complete action items in a timely manner, and keep a project on track. A formal Issue/Action Item Management process provides the mechanism throughout the lifecycle of the project to bring issues and action items to resolution. Within the context of the AgCSS Project, Issues and Action Items will be categorized as follows:

- **Issue** - An ISSUE is an existing constraint that is negatively impacting project timeliness, quality, resources, or budget at some point in the future. Issues that require attention from another level or area within the project governance structure will be subject to the formal issue escalation process.
- **Action item** - An ACTION ITEM is a proactive task identified by the project team to address a known problem or situation. Actions may also come from a risk or issue item. Incomplete or overdue action items may create issues.

The Issue/Action item high-level workflow depicted below shows the various stages of the Issue/Action Item Management Process.

Issue/Action Item Management Process

AgCSS Project



**Exhibit 62: Issue/Action Item Management Process**

**15.1 Plan Issue/Action Item Management**

The following table describes the project team’s roles and responsibilities for the issues and action items process.

TEAM ROLE	ISSUE AND ACTION ITEM RESPONSIBILITIES
PPMO Manager	<ul style="list-style-type: none"> <li>▪ The PPMO Manager has overall responsibility for oversight of all of the project areas including the management of issues and action items.</li> <li>▪ Make decisions to resolve issues or escalate to the Executive Sponsor</li> </ul>



TEAM ROLE	ISSUE AND ACTION ITEM RESPONSIBILITIES
AgCSS Project Manager  GCOM Project Manager	The Project Manager’s responsibilities include: <ul style="list-style-type: none"> <li>▪ Ownership of Issue/Action Item Tracking Logs in JIRA</li> <li>▪ Monitoring and management of open issues and action items</li> <li>▪ Chairing Issue/Action Item Coordination Meetings updating status as required</li> <li>▪ Including issues and action item status within the Project Status Report</li> <li>▪ Reviewing issues and action items to prevent duplication</li> </ul>
Issue / Action Item Originator	Anyone can originate an issue or action item. Responsibilities include: <ul style="list-style-type: none"> <li>▪ Identifying an issue requiring resolution</li> <li>▪ Logging action items identified during the course of the project</li> <li>▪ Defining the Issue/Action item further as required</li> <li>▪ Reviewing and approving action plan/resolution to ensure issue as originally defined will be resolved</li> </ul>
Issue / Action Item Assignee	The Assignee’s responsibilities include: <ul style="list-style-type: none"> <li>▪ Participating in discussions with the Issue or Action Item Originator to fully understand the issue or action item</li> <li>▪ Researching and drafting the Action plan/resolution</li> <li>▪ Driving the Issue/Action items to resolution and closure</li> </ul>

### Exhibit 63: Issue/Action Roles and Responsibilities

#### 15.2 Issue Escalation Process

In the event an issue or issues remain unresolved at a certain level of project governance responsibility; an escalation process is to be used. The four issue escalation levels and timeline criteria are shown in the following table (see section 15.7 Monitoring and Controlling Issues/Actions for more detail on Escalation):

LEVEL	FDACS ROLE	CONTRACTOR ROLE	ESCALATION TIMELINE
1	Project Manager	Project Manager	2 Days after Due Date
2	PPMO Manager	Project Manager	3 Days after Level 1 Escalation
3	Executive Sponsor	Client Lead	5 Days after Level 2 Escalation
4	IT Governance Team	Account Executive	5 Days after Level 3 Status Meeting Review

### Exhibit 64: Issue Escalation Levels

Project issues unable to be resolved within an agreed upon timeframe or that could potentially cause project delay will need to be escalated to the next level in the governance structure. Exhausting all options

for resolution at the current level can also be considered a reason to escalate. FDACS and contractor’s responsible staff will agree to escalate the given issue or issues at each level prior to escalation. The JIRA RAID Dashboard contains widgets to identify and monitor escalated issue and action items. This widget works on the issue and action item due date and is based on the escalation timeline above. The joint AgCSS and GCOM PMOs may manage escalations by managing issue and action item by updating the work item due date and assignment owner.

### 15.3 Issue Log

The project team will utilize an Issue Log in FDACS JIRA to document and track issues. In all cases, the focus will be on speedy resolution of issues in order to maintain the project schedule and quality of deliverables. The Issue Log sample below will be part of the project management tools in JIRA and will serve as a template for identifying and managing issues for this project. The Issues Log can be accessed via the Project JIRA site.

JIRA provides the following facilities for issue management:

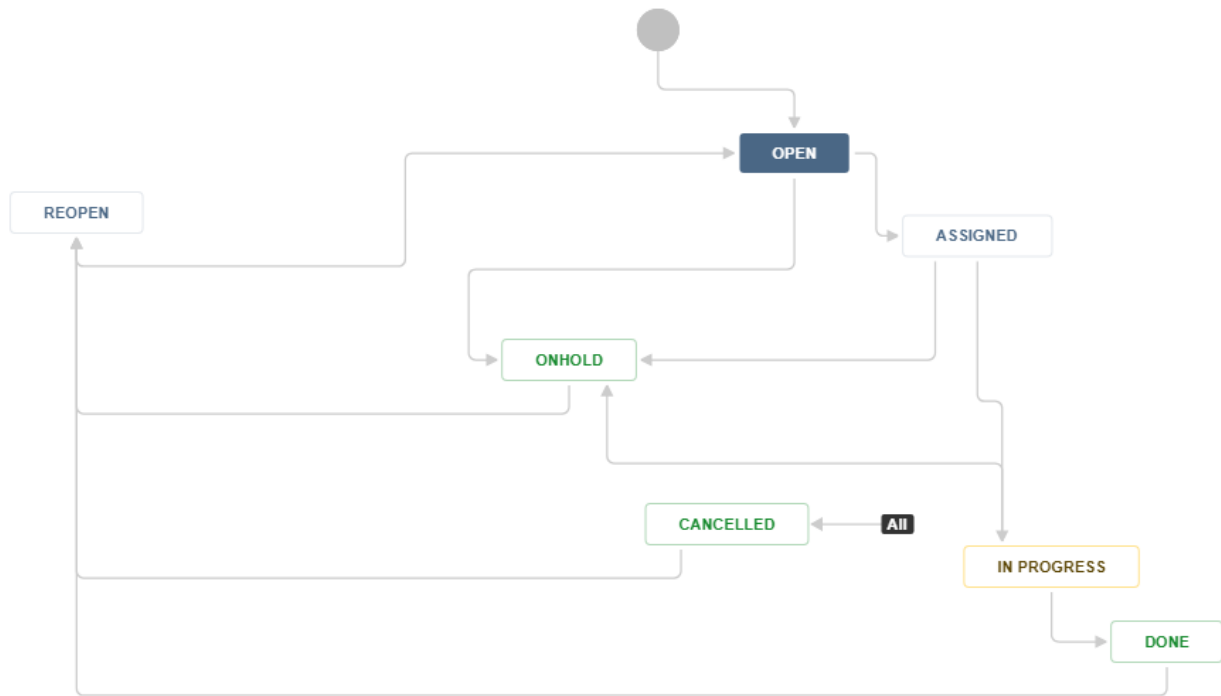
- An issue work item that any team member can use to capture issues.
- An issue dashboard that summarized issue captured, communicated or under review.
- An issue list which can be downloaded to excel.

Key fields used for issue management are listed in the table below:

Field	Description
<b>JIRA ID</b>	Unique identification number for the work item in JIRA.
<b>Summary</b>	Brief description/title of the work item.
<b>Priority</b>	Priority of the work item such as critical, high, medium or low.
<b>Severity</b>	Measures severity of an issue.
<b>Description</b>	WIKI style memo field to capture detailed description of the work item.
<b>Labels</b>	Free form XML tag that can be used to associate the work item with key words that can be used to search across all work item.
<b>Resolution (Work Item Closure) Notes</b>	Memo field used to capture closing status comments.
<b>Links</b>	Data structure in JIRA that creates relationship between work items.
<b>Comments</b>	Comment facility that allows for memo type comments. Each comment is author and date stamped.
<b>Owner</b>	Project team member that owns the work item; not necessarily the team member with the current action on the work item.
<b>Assignee</b>	Project team member that is assigned the next action on a work item.
<b>Reporter</b>	Project team member that reported the work item. May not be the same person that enters the work item.
<b>Resolution Plan</b>	Used for issue work item resolution plans.
<b>Date Identified</b>	Date work item was identified, not necessarily the day it was entered into JIRA.
<b>Due Date</b>	Date the work item is due to be closed. In case of a meeting work item, the date of the meeting.
<b>Resolved "Date"</b>	Date a work item is resolved. Resolved in JIRA means final disposition of the work item.
<b>EPIC Name</b>	Provides a short name to identify an epic.
<b>Sprint</b>	Sprint that a work item will be executed with.

Field	Description
<b>Epic Group</b>	Allows grouping of EPICs by configuration item type. Epic groups can be common component themes or configuration items (records, interfaces and the like)
<b>Owning Organization</b>	Organization responsible for the issue.
<b>Division/Bureau</b>	Flags the division or bureau that a work item is associated with.
<b>Workstream</b>	Work Stream primarily responsible for work item
<b>DDI Phase</b>	Implementation Phase used for reporting purposes
<b>AgCSS Release</b>	AgCSS Release that the work item is associated with.

The issue work item in JIRA follows the workflow described in the image and table below.



**Exhibit 65: Work Flow and Automated Validation Fields for Issue Work Item**

The table below describes the work flow steps.

ID	Step	Description and Workflow Validation Requirements.
1	Open	An Issue item that is new or not complete is in the “Open” Status. An Issue in this status is not assigned to an owner or assignee.
2	Assigned	Issue items that have been assigned to an owner.
3	In Progress	An Issue item that is still being worked upon are in “In-Progress” status.
4	Reopen	Issue items which are in “Cancelled”, “On Hold”, or “Done” status can be put back in the project’s active work queue by placing the Issue item in “Re-open status.” In most cases, “Re-open” work items are reviewed by the AgCSS or DDI PMO and reassigned as appropriate. To

ID	Step	Description and Workflow Validation Requirements.
		reassign a "Re-open" action item, the PMO will update the work item status to "Open", make a resource assignment, and enter a comment direction the Issue item to be worked to completion.
5	On Hold	Issue items that are deferred, but not "Cancelled" are placed in "On Hold" status. An Issue item can be placed on hold from any status.
6	Cancelled	Issue items that are no longer needed or entered into the system erroneously are given the status of "Cancelled". An Issue item can be cancelled from any status.
7	Done	An Issue item is complete. A resolution has been documented in the AgCSS JIRA. The system will require a resolution code (typically "Done") and resolution notes to be entered by the user that is completing the issue item. The system will stamp the date the issue item is completed in the Resolve field

### 15.4 Action Log

An action log in JIRA will be utilized to document and track action items. Key fields used for action item management are listed in the table below:

Field	Description
<b>JIRA ID</b>	Unique identification number for the work item in JIRA.
<b>Summary</b>	Brief description/title of the work item.
<b>Priority</b>	Priority of the work item such as critical, high, medium or low.
<b>Description</b>	WIKI style memo field to capture detailed description of the work item.
<b>Labels</b>	Free form XML tag that can be used to associate the work item with key words that can be used to search across all work items.
<b>Resolution (Work Item Closure) Notes</b>	Memo field used to capture closing status comments.
<b>Links</b>	Data structure in JIRA that creates relationship between work items.
<b>Comments</b>	Comment facility that allows for memo type comments. Each comment is author and date stamped.
<b>Owner</b>	Project team member that owns` the work item; not necessarily the team member with the current action on the work item.
<b>Assignee</b>	Project team member that is assigned the next action on a work item.
<b>Reporter</b>	Project team member that reported the work item. May not be the same person that enters the work item.
<b>Date Identified</b>	Date work item was identified, not necessarily the day it was entered into JIRA
<b>Due Date</b>	Date the work item is due to be closed. In case of a meeting work item, the date of the meeting.
<b>Resolved "Date"</b>	Date a work item is resolved. Resolved in JIRA means final disposition of the work item. Exception does apply to development work items.
<b>EPIC Name</b>	Provides a short name to identify an epic.
<b>Sprint</b>	Sprint that a work item will be executed in.
<b>Epic Group</b>	Allows grouping of EPICs by configuration item type. Epic groups can be common component themes or configuration items (records, interfaces and the like).
<b>Owning Organization</b>	Organization responsible for the action item.
<b>Division/Bureau</b>	Flags the division or bureau that a work item is associated with.
<b>Work Stream</b>	Work Stream primarily responsible for work item.
<b>DDI Phase</b>	Implementation Phase used for reporting purposes.
<b>AgCSS Release</b>	AgCSS Release that the work item is associated with.

The action item workflow is described in the image and table below.



**Exhibit 66: Work Flow of Action Item**

ID	Step	Description and Workflow Validation Requirements.
1	Open	Action items that are new or not complete are in the "Open" Status. When an action item is completed, the action item can be transitioned to "Done" status.
2	Done	Action item is completed. A resolution has been documented in the AgCSS JIRA. The system will require a resolution code (typically "Done") and resolution notes to be entered by the user that is completing the action item. The system will stamp the date the action item is completed in the Resolve Field.
3	On-Hold	Action items that are deferred, but not "Cancelled" are placed in "On-Hold" Status." An action item can be placed on hold from any status.
4	Cancelled	Action items that are no longer needed or entered into the system erroneously are given a status of "Cancelled." An Action item can be cancelled from any status.
5	Re-open	Action items which are in "Cancelled" or "On-Hold" Status can be put back in the project's active work queue by placing the action item in "Re-open" status. In most cases, " Re-open" work items are reviewed by the AgCSS or DDI PMO and reassigned as appropriate. To reassign a "Reopen" action item, the PMO will update the work item status to Open, make a resource assignment, and enter a comment direction the action item to be worked to completion.

### 15.5 Identify Issue/Action Items

Issue submission provides the first step in the Issue/Action process and starts with the Issue Originator who identifies a project issue. The FDACS AgCSS Project Manager or Vendor Project Manager will review the issue in the tracking log to make sure it has not already been reported and possibly resolved.

The Originator must describe the issue and include any other information that could be helpful to whoever is assigned the issue to resolve. An issue may be identified in any number of ways:

- A problem for which there is no apparent answer
- A current situation or event that cannot be answered immediately but requires some research and analysis to provide insight into actions that need to be taken
- An inability of two project entities or functional groups to come to an agreement on a particular item or process
- The need for information external to the project inhibits or stops the development of the project solution until resolved

The Issue Originator will provide the pertinent information about the issue in an e-mail to the FDACS AgCSS Project Manager or Vendor Project Manager and add to the issue to JIRA for tracking. The information will include (but not be limited to):

- Detailed description of the issue
- Assessment of the potential impact to the Project if the issue is not resolved
- Resolution due date
- Information identifying the Originator of the issue

### 15.6 Plan Issue/Action Item Responses

Once the Issue/Action (IA) item has been documented, the Issue/Action Item Team (IAT/PMT) will review the IA and assign responsibility for developing and implementing an Action plan/resolution to an IA owner. The IA owner will analyze the Issue/Action item and develop an Issue/Action Item Action plan/resolution that describes the activities that need to be completed in order to address the Issue/Action item. All documentation regarding the issue will be entered in JIRA.

### 15.7 Monitoring and Controlling Issues/Action Items

Monitoring and Controlling involves implementing the Issue/Action Item Action plan/resolution, tracking progress, identifying new Issue/Action items, and evaluating the Issue/Action item management process throughout the project lifecycle.

From time to time, issues need to be resolved by escalating them to a more senior level. Criteria for escalating issues include:

- An issue or action item's resolution is more than 7 calendar days past due;
- An issue has reached an impasse and cannot be resolved within the current level;
- An agreement cannot be reached on the severity of an issue;
- An issue or action item is not making adequate progress toward resolution or completion.

If an issue is considered significant, but an impact analysis reveals that the resolution would be costly to the Project in terms of resource drain or potential impact to other components of the Project, then the issue must be escalated to determine the next steps. The IAT may agree that a given issue must be addressed at a higher level of management. In that case, it would immediately be escalated to the appropriate level.

The levels of escalation will correspond to the following:

- **Level 0 – Work Stream Project Teams:** At this level, items are addressed within the project teams and do not require escalation.
- **Level 1 – Project Managers:** All issues impacting project scope, schedule, and budget begin at the Project Managers' level. An issue at this level indicates that it is being managed by the Project Management Team members who comprise the Issue/Action Item Coordination Team.
- **Level 2 – PPMO Manager:** The PPMO Manager will determine the resolution of issues that affect FDACS policies and procedures, or issues that cannot be resolved at lower levels of the organization. Upon initial review of the issue, the PPMO Manager will determine whether the issue will be escalated to the Contract Management Team or can be appropriately handled at this level. Issues that cannot be resolved by the PPMO Manager will be referred to Executive Sponsor for disposition.
- **Level 3 – Executive Sponsor** – Receives input from the PPMO Manager and other PMT members to reach a resolution to unresolved Issues/Actions. If a resolution cannot be reached at this level, the Executive Sponsor escalates the issue to the IT Governance Team.
- **Level 4 – IT Governance Team** – The IT Governance is responsible for disposition of issues that could not be resolved at lower levels. If this group cannot reach consensus on disposition, the issue can be resolved solely at the discretion of the Commissioner.

## 16 Decision Management

Throughout the Project, the need for decisions will arise. The project team will identify decisions needed to move the work of the project team forward using the project decision log in SharePoint. A Decision Item is a formal decision or need for a decision that must be communicated to sponsors and stakeholders.

The AgCSS project team will utilize formal criteria to determine when it is necessary to log an item as a decision and act on it accordingly. The list below includes but is not limited to the formal criteria for the circumstances upon which a decision should be logged. For example, decisions that modify either scope, schedule, quality, or cost utilize the following metrics\criteria:

- Scope – Changes that modify the project scope as documented in the approved Project Management Plan;
- Schedule – Changes to major deliverable due dates, key milestone dates or critical path dates;
- Quality – Changes to the standards, functionality, and performance as outlined in the system; requirements or agreed-upon availability, results, acceptable number of faults, and usability of the system;
- Cost – Variances of greater than +/- 10% of project budget within spending plan categories.

In accordance with the process previously described, the AgCSS project team will identify and document decisions, will communicate to the FDACS PPMO significant decisions needed, and will elevate decisions to the Executive Sponsor if needed. The project team will also document in the decision that affect the Project made by the IT Governance Team.

The Decision Log may also contain questions that require answers from FDACS or stakeholders.

### 16.1 Key Decisions and Questions Log

A Key Decisions and Questions Log will be used to capture and track questions that need to be answered and key decisions made by the Project, and that need to be made by the project team. The exhibit below provides an example of a Decision Log located on FDACS AgCSS JIRA site.

JIRA provides the following facilities for managing decision and questions (referred to as **Decision** work items in JIRA):

- A decision work item that any team member can use to capture decisions.
- A decision dashboard that summarized decisions captured, communicated or under review.
- A decision list which can be downloaded to excel.

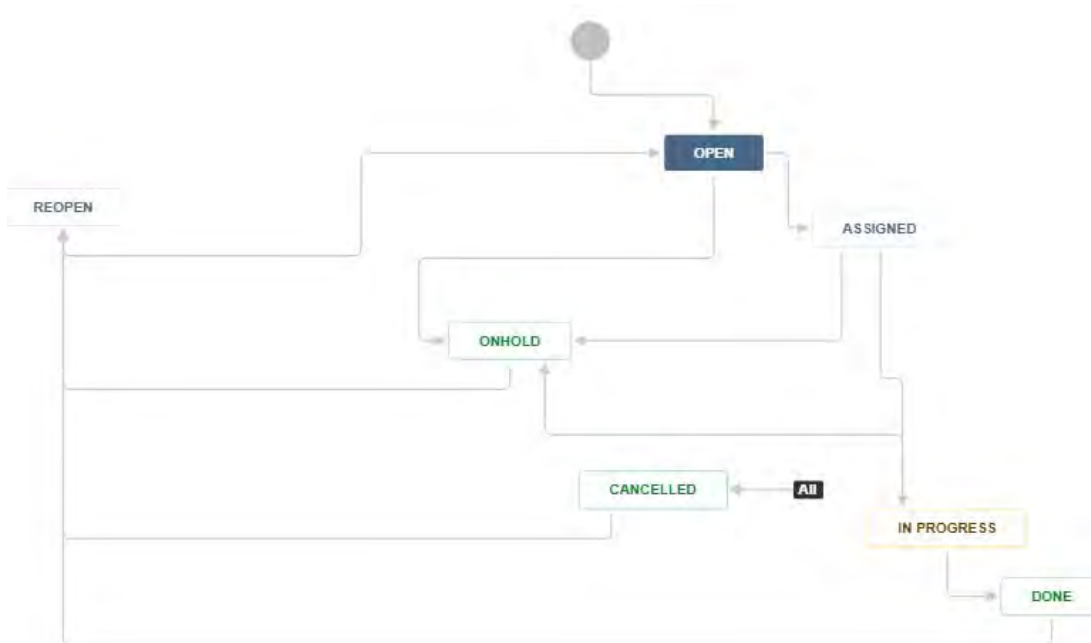
Key field used on the JIRA Decision Work Item are listed in the table below.

Field	Description
<b>Summary</b>	Brief description/title of the work item.
<b>Priority</b>	Priority of the work item such as critical, high, medium or low.
<b>Description</b>	WIKI style memo field to capture detailed description of the work item.
<b>Labels</b>	Free form XML tag that can be used to associate the work item with key words that can be used to search across all work item.
<b>Resolution (Work Item Closure) Notes</b>	Memo field used to capture closing status and key decision/question messages comments.



Field	Description
<b>Links</b>	Data structure in JIRA that creates a relationship between work items.
<b>Owner</b>	Project team member that owns the work item; not necessarily the team member with the current action on the work item.
<b>Assignee</b>	Project team member that is assigned the next action on a work item.
<b>Reporter</b>	Project team member that reported the work item. May not be the same person that enters the work item.
<b>Decision Type</b>	Type of Decision (Decision or Question).
<b>Decision Maker</b>	Person designated and authorized to make decision on the work item. May or may not be a JIRA user.
<b>Date Identified</b>	Date work item was identified, not necessarily the day it was entered into JIRA.
<b>Due Date</b>	Date the work item is due to be closed. In case of a meeting work item, the date of the meeting.
<b>Resolved "Date"</b>	Date a work item is resolved. Resolved in JIRA means final disposition of the work item. Exception does apply to development work items.
<b>EPIC Name</b>	Provides a short name to identify EPICs.
<b>Sprint</b>	Sprint that a work item will be executed with.
<b>Epic Group</b>	Allows grouping of EPICs by configuration item type. Epic groups can be common component themes or configuration items (records, interfaces and the like).
<b>Owning Organization</b>	Organization responsible for the action item.
<b>Division/Bureau</b>	Flags the division or bureau that a work item is associated with.
<b>Workstream</b>	Work Stream primarily responsible for work item.
<b>DDI Phase</b>	Implementation Phase used for reporting purposes.
<b>AgCSS Release</b>	AgCSS Release that the work item is associated with.

The decision work items following the workflow described in the image and table below.



**Exhibit 67: Workflow and Automated Validation Fields**

The table below describes the work flow steps.

Table 23: Work flow steps

ID	Step	Description and Workflow Validation Requirements
1	Open	Decision items that are new or not complete are in the "Open" Status. When a decision item is completed, the decision item can be transitioned to "Done."
2	Assigned	Decision items that have been assigned to an owner.
3	In Progress	Decision items are still being worked upon are in "In-Progress" status.
4	Cancelled	Decision items that are no longer needed or entered into the system erroneously are given the status of "Cancelled". A decision item can be cancelled from any status.
5	Reopen	Decision items which are in "Cancelled", "On Hold", or "Done" status can be put back in the project's active work queue by placing the action item in "Re-open" status. In most cases, "Re-open" work items are reviewed by the AgCSS or DDI PMO and reassigned as appropriate. To reassign a "Re-open" action item, the PMO will update the work item status to "Open" make a resource assignment, and enter a comment.
6	On hold	Decision items that are deferred, but not "Cancelled" are placed in "On Hold" status. A decision item can be placed "On Hold" from any status
7	Done	Decision item is completed. A resolution has been documented in the AgCSS JIRA. The system will require a resolution code (typically "Done") and resolution notes to be entered by the user that is completing the action item. The system will stamp the date the action item is completed in the Resolve field.

## 17 Lessons Learned

In addition to managing Risk, Issue, Action Items and Decisions, the AgCSS PMO will also conduct Lesson Learned sessions at the completion of each sprint, phase or key deliverable. Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK®) defines Lessons Learned as the learning gained from the process of performing the Project. The purpose of documenting Lessons Learned is to share and use knowledge derived from experience to promote the recurrence of desirable outcomes and preclude the recurrence of undesirable outcomes. Lessons Learned will be maintained on the AgCSS JIRA site.

JIRA provides the following facilities for managing lessons learned:

- A lesson learned work item that any team member can use to capture lessons learned.
- A lesson learned dashboard that summarized lessons learned captured, communicated or under review.
- A lesson learned list which can be downloaded to excel.

Key fields used in the lesson learned work item include:

Field	Description
<b>JIRA ID</b>	Unique identifier of the lesson learned work item.
<b>Summary</b>	Brief description/title of the work item.
<b>Description</b>	WIKI style memo field to capture detailed description of the lesson learned work item.
<b>Resolution (Work Item Closure) Notes</b>	Memo field used to capture closing status comments.

Field	Description
<b>Comments</b>	Comment facility that allows for memo type comments. Each comment is author and date stamped. This is an area where the team can collaborate on the lesson learned definition, communication plan or implementation plan.
<b>Owner</b>	Project team member that owns the work item; not necessarily the team member with the current action on the work item.
<b>Assignee</b>	Project team member that is assigned the next action on a work item.
<b>Reporter</b>	Project team member that reported the work item. May not be the same person that enters the work item.
<b>Date Identified</b>	Date work item was identified, not necessarily the day it was entered into JIRA
<b>Due Date</b>	Date the work item is due to be closed. In case of a meeting work item, the date of the meeting.
<b>Resolved "Date"</b>	Date a work item is resolved. Resolved in JIRA means final disposition of the work item. Exception does apply to development work items. In the case of lessons learned, resolved date is the date the lesson learned disposition and communication plan is determined by the AgCSS PMO.
<b>Workstream</b>	Workstream primarily responsible for work item.
<b>DDI Phase</b>	Implementation Phase the lesson learned was identified/realized used for reporting purposes.
<b>AgCSS Release</b>	AgCSS Release that the lesson learned was identified or realized in.
<b>LL_Type</b>	Type of Lesson Learned. Strength or Improvement Opportunity.

The following image describes the work flow used with the lesson learned work item in JIRA.



Figure 43: Workflow and Automated Validation for Lessons Learned

Each state of the work flow is described below.

ID	Step	Description and Workflow Validation Requirements
1	Open	Lessons Learned items that are new or not complete are in the "Open" Status. When a Lesson Learned item is completed, the Lessons Learned item can be transitioned to "Done."
2	Assigned	Lessons Learned items that have been assigned to an owner.
3	Re-open	Lessons Learned items which are in "Cancelled", "On Hold", or "Done" status can be put back in the project's active work queue by placing the Lessons Learned item in "Re-open" status. In most cases, "Re-open" work items are reviewed by the AgCSS or DDI PMO and reassigned as appropriate. To reassign a "Re-open" action item, the PMO will update the work item status to "Open," make a resource assignment, and enter a comment direction the Lesson Learned item to be worked to completion.
4	On Hold	Lessons Learned items that are deferred, but not "Cancelled" are placed in "On Hold" status. A Lessons Learned item can be placed on hold from any status.
5	Cancelled	Lessons Learned items that are no longer needed or entered into the system erroneously are given the status of "Cancelled". A Lessons Learned item can be cancelled from any status.
6	In Progress	Lessons Learned items that are still being worked upon are given "In-Progress" status
7	Done	Lessons Learned item that is complete (completely defined and communication plan in place). A resolution has been documented in the AgCSS JIRA. The system will require a resolution code (typically "Done") and resolution notes to be entered by the user that is completing the Lessons Learned item. The system will stamp the date the Lessons Learned item is completed in the Resolve field.

## 18 Procurement Management Plan

The Procurement Management Plan outlines the AgCSS Project's approach to procurement management. The AgCSS project will adhere to the established procurement, policies, processes and procedures as defined by the FDACS Bureau of General Services (Purchasing). The FDACS policies and procedures for the procurement of contractual services (chapter 4, section 4-9) can be found on the FDACS intranet site at the following link: [Procurement of Contractual Services](#).

The following exhibit shows at a high-level the Procurement Management Processes FDACS will utilize for the AgCSS project.



**Exhibit 68: Procurement Management Processes**

- Plan Procurement: The process of documenting project purchasing decisions, specifying the approach, and identifying potential Contractors
- Conduct Procurements: The process of obtaining seller responses, selecting a contractor, and awarding a contract

- Administer Procurements: The process of managing procurement relationships, monitoring contract performance, and making changes and corrections as needed
- Close Procurements: The process of completing each project procurement

### **18.1 Procurement Activities**

This section defines how procurement activities will be managed from the initial development of the solicitation(s) through contract closure. The high-level procurement activities for the AgCSS project include:

- Determining Procurement Method
- Defining roles and responsibilities
- Developing Procurement Schedule
- Execute Procurement
- Procurement Closing Activities

#### **18.1.1 Method of Procurement**

The first step in the solicitation process is determining the contractual partnerships required by the Department to implement an enterprise Agriculture and Consumer Services System (AgCSS), determining the appropriate procurement method and preparing a price or cost analysis, as appropriate.

It is anticipated that Department may utilize a combination of procurement methods/contracts during the course of the AgCSS Project including but not limited to the following:

- Staff Augmentation (State Term Contract)
- IT Management Consulting (State Term Contract)
- Invitation to Negotiate
- Other Personal Services
- Purchase Order
- Request for Quote

#### **18.1.2 Roles and Responsibilities**

The roles and responsibilities of key groups and individuals who may be involved during the procurement are addressed in the Roles and Responsibilities exhibit below:

ROLE	RESPONSIBILITIES
IT Governance Team	<ul style="list-style-type: none"> <li>▪ Provide recommendations on Project procurement guidelines for procurement planning activities</li> </ul>
Executive Sponsor	<ul style="list-style-type: none"> <li>▪ Provide recommendations on Project procurement guidelines for procurement planning activities</li> <li>▪ Review vendor responses</li> <li>▪ Provide recommendations on vendor selection</li> <li>▪ Approve procurements</li> </ul>
FDACS AgCSS Project Manager	<ul style="list-style-type: none"> <li>▪ Plan, review, and monitor Project procurement approach and process</li> </ul>
PPMO Manager	<ul style="list-style-type: none"> <li>▪ Document Project purchasing decisions</li> <li>▪ Initiate solicitation</li> <li>▪ Develop solicitation</li> <li>▪ Define procurement approach</li> <li>▪ Identify potential vendors</li> <li>▪ Obtain vendor responses</li> <li>▪ Manage procurement relationships</li> <li>▪ Monitor contract performance and make adjustments and changes as needed</li> <li>▪ Closeout procurement process for each Project procurement</li> </ul>
Procurement Director	<ul style="list-style-type: none"> <li>▪ Review final solicitation documents for posting to Contractor Bid System</li> <li>▪ Post solicitation, all meetings, agenda, addendum and decisions to Contractor Bid System</li> <li>▪ Support development of written responses to Contractor questions</li> <li>▪ Support contractor conference</li> <li>▪ Develop addendum</li> <li>▪ Develop criteria for evaluation team</li> <li>▪ Develop memo for appointment of evaluation team</li> <li>▪ Support evaluation phase of the procurement</li> <li>▪ Develop criteria for negotiation team</li> <li>▪ Develop memo for appointment of negotiation team</li> <li>▪ Support negotiation phase of the procurement</li> <li>▪ Prepare contract routing package for submittal to Procurement/Contract lead</li> <li>▪ Receive all communications from contractors</li> <li>▪ Act as conduit between General Counsel, Leadership and Program Office for all procurement activities</li> <li>▪ Develop contract management activities and processes</li> <li>▪ Oversee Project procurements and the associated contracts</li> <li>▪ Closeout Project contract at the conclusion of the AgCSS Project</li> </ul>
Procurement Attorney	<ul style="list-style-type: none"> <li>▪ Conduct legal review on solicitation and all related documents during procurement process</li> </ul>

	<ul style="list-style-type: none"> <li>Conduct legal review on contract and all contract related activities</li> </ul>
Procurement Approval Team	<ul style="list-style-type: none"> <li>Conduct review and approval of solicitation; final decision makers for release of the solicitation</li> </ul>
Business Advisory Group	<ul style="list-style-type: none"> <li>Provide input and feedback on procurement requirements</li> <li>Review vendor responses</li> <li>Provide recommendations on vendor selection</li> </ul>
Information Technology	<ul style="list-style-type: none"> <li>Provide input and feedback on procurement requirements for technical and security requirements/standards</li> <li>Review vendor responses</li> <li>Provide recommendations on vendor selection</li> </ul>

### **Exhibit 69: Project Procurement Management Roles and Responsibilities**

These roles are to be reviewed and agreed upon prior or the beginning of each procurement phase.

#### **18.1.3 Procurement Schedule**

The schedule for any procurements required for the AgCSS Project will be defined and managed in the Master Project Schedule. The Master Project Schedule is a separate project artifact managed by the FDACS AgCSS PMO. This schedule contains all activities related to the AgCSS Project and its procurements. The Master Project Schedule is updated each reporting cycle and can be found on the AgCSS Project SharePoint site.

#### **18.1.4 Procurement Execution**

The Procurement Director along with the PPMO Manager will be responsible for managing and executing the procurement activities and logistics.

#### **18.1.5 Procurement Closure**

Following final contract award and signatures between both the Department and the selected contractor, the procurement portion of the project will close. The PPMO/Contract Manager and AgCSS PMO will upload all procurement documentation to the AgCSS project repository.

AgCSS procurements will be closed through the designated and authorized Procurement Director by means of formal written notice that the contract and all of its requisite requirements have been completed and the related terms have been met. Requirements for formal procurement closure are typically outlined in the terms and conditions of the contract included in the Procurement Management Plan.

The procurement closure process consists of administrative activities such as updating records to reflect final project results, finalizing open claims, archiving project information for future use. Procurement closure applies to each contract applicable to the AgCSS Project and each of its phases.

Included with the closing of a procurement is the final update to organizational process assets included but not limited to the following:

- **Procurement File** – A full set cataloged contracted documentation, including the closed contract, will be added with final project files;
- **Deliverable Acceptance** – Project Management, typically through the authorized procurement administrator, will provide the vendor with formal written notice that deliverables have been accepted or rejected. The acceptance criteria and methods to address non-conforming deliverables are typically defined in the associated contract;
- **Lessons Learned Documentation** – Lessons Learned, project experiences, and recommended project improvements are documented for the project file to incorporate for the improvement of future procurements.



## 19 Stakeholder Management

Project stakeholder management is intended to identify individuals or groups that could impact or be impacted by the project and to develop appropriate strategies for effectively interacting with them. Stakeholder management focuses on communication with stakeholders to understand their communication needs and expectations, addressing issues as they occur, and fostering appropriate stakeholder awareness of project decisions and activities.

A comprehensive stakeholder analysis and management plan is included in the OCM Plan, developed as a Pre-DDI deliverable. Please refer to this deliverable on the AgCSS Project SharePoint site for more information.

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## 20 Document Management

This document describes the document management practices for this Project. Document management includes document creation, document revision, delivery approach, and version control. A standard process will be used for all project-related documents. This applies to the creation and management of documentation including minutes, notes, deliverables, and other outputs for this phase of the Project.

### 20.1 Document Creation and Delivery Approach Objectives

This approach is designed to ensure:

- Defined objectives are met;
- Expectations of the major stakeholders of the project are fulfilled;
- Approved principles, measures, standards, and methods are applied uniformly;
- Consistency and continuity is maintained for all project artifacts;
- Ensure documents are named and stored in a consistent manner.

### 20.2 Purpose of Document Management Plan

The purpose of the Document Management Plan is to define the process for how documents developed throughout the project will be managed and submitted to FDACS for approval.

This document identifies the steps in the document creation and update processes, from the initial creation of a document through approval by FDACS (if applicable), including any revisions or updates necessary throughout the document's useful life.

### 20.3 Scope of Document Creation and Delivery Approach

This document covers project documentation-related activities including:

- Document Management Strategy
- Delivery Document Lifecycle Management
- Version Control

### 20.4 Document Management Strategy

Vendors and FDACS will work together to ensure quality in the documents submitted to FDACS for review and approval. To support this goal, several tactical actions are planned or have already been performed:

- The project will use FDACS Project SharePoint site. SharePoint helps to organize large, complex information sources and to manage documents with multiple authors and approvers. SharePoint provides for version tracking, check-in and check-out to ensure that only one person works on a document at a time, controlled document access based on user roles, and automated routing of documents to reviewers. SharePoint also provides a collaboration feature that will support document review by multiple concurrent users. See section 9.6 FDACS Deliverable Review Process for recommended deliverable review methods.
- The approach and the document naming standards defined in this plan will be adhered to for documents that will be submitted to FDACS.
- Backup and retention of documents will be managed by established SharePoint procedures.
- As relevant project documentation, including hard copy documents (i.e., charts, graphs, and other supporting documents) are gathered, to the extent practicable and as determined appropriate, documents will be scanned and stored in SharePoint following standards and processes defined in this plan.

## 20.5 Delivery Document Lifecycle Management

Management of deliverable documents is accomplished by a set of processes that apply to all stages in the lifecycle of a document. The document lifecycle includes five steps of activity representing distinct stages of creation, review, and modification through which a document may pass during its lifecycle. The steps in the document lifecycle are defined below:

- **Step 1: Deliverable Expectations Document Creation** – Vendor creates a document outlining the contents and acceptance criteria for the Deliverable and Vendor Project Manager submits it to FDACS for approval.
- **Step 2: New Document Creation** – Deliverable Developer creates and Vendor Project Manager submits deliverables to FDACS for review (the document process, as outlined below, includes a quality assurance review).
- **Step 3:** FDACS conducts an initial review and provides comments to Vendor’s Project Manager.
- **Step 4:** Vendor’s document owner updates the deliverable per FDACS’ comments and Vendor Project Manager re-submits deliverable to FDACS.
- **Step 5:** Vendor’s document owner completes final updates and Vendor’s Project Manager re-submits the document to FDACS for approval. FDACS confirms that edits were made to address the comments provided.

If a document does not pass FDACS’ initial review, FDACS will document and provide specific actionable changes that are required for approval. Vendor will update the document and resubmit to FDACS for approval. A more detailed description of the deliverable review and acceptance process is outlined in section 9.6 FDACS Deliverable Review Process.

### 20.5.1 Document Review Time Standards

The Deliverables Review process and time standards have been defined in the project schedule, as follows:

- Each deliverable will be submitted to the AgCSS PMO via the FDACS SharePoint site, with a notification e-mail containing a link to the document and a summary of the review timelines for the deliverable.
- Once the deliverable has been submitted, FDACS will review each deliverable submitted per the designated review period established in the DED, and provide recommended changes according to the determined review method (see section 9.6.3 Deliverable Review Period Guidelines).
- The Deliverable Developer will make the revisions according to the period established in the DED (when applicable) and re-submit the updated final version to the AgCSS PMO. Changes requested by FDACS that are not recommended by the Vendor will be left unaccepted in the document with explanation from the Vendor.
- Upon receipt of modifications, FDACS will review the deliverable to confirm the modifications. Changes not recommended by the Vendor can be accepted in the deliverable by FDACS.
- Once the document has been accepted, the Vendor will update the document version history and number per the document naming and version standards. The version marked final will be uploaded to the FDACS SharePoint AgCSS project document site.
- Any conflict arising from the deliverable review and acceptance procedures will be addressed via the Project Governance Model.

### 20.5.2 Document Naming Standards

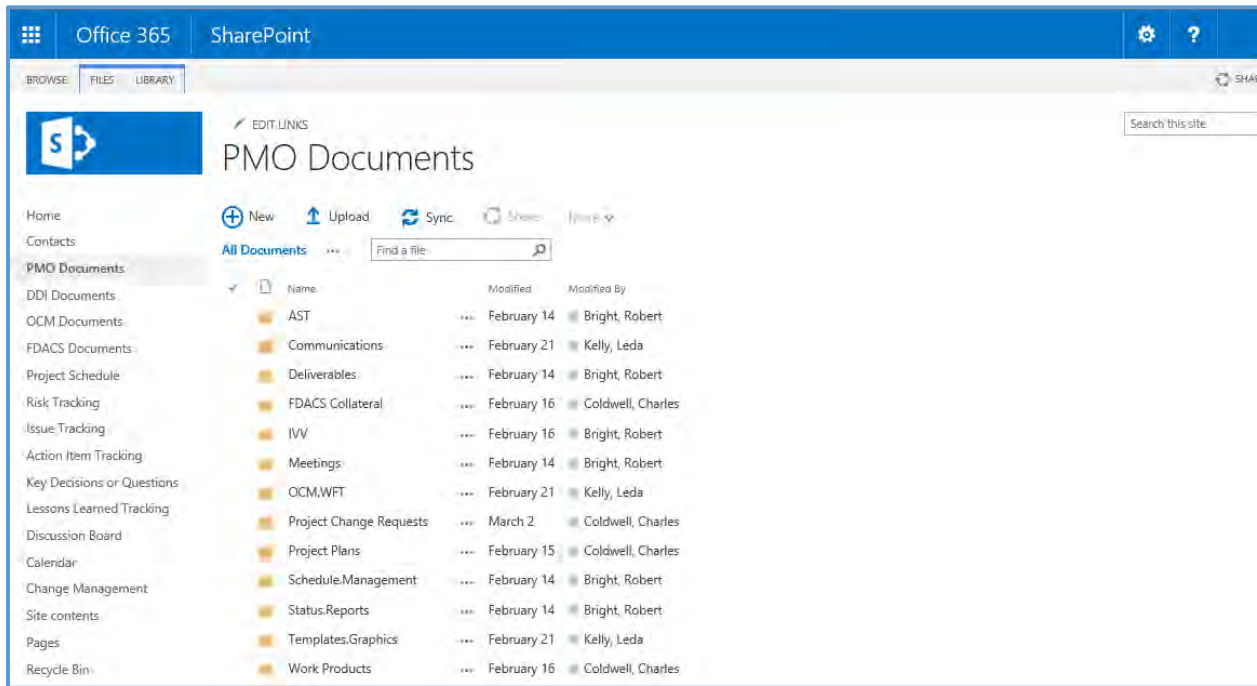
All artifacts will use a standard naming convention to provide consistency in the way all project related artifacts are named. The file naming conventions used on this project include:

- AgCSS-R1-DeliverableName-Type--MMDDYY-v000 (Example: AgCSS-R1-Project Management Plan-DEL-011516-v001)
- Where -
  - › AgCSS: Project acronym for Regulatory Lifecycle Management System
  - › R1: Release 1
  - › Type: Document Type Code is used to classify the document. Document type code identified to date include:
    - DED – Deliverable Expectation Document
    - DEL – Deliverable
    - MA – Meeting Agenda

- MM – Meeting Minutes
  - WP - Work Product
  - CC – Contract Correspondence
  - TB – Technical Bulletin
  - Memo – Memorandum
  - MSR – Monthly Status Report
  - QSR – Quarterly Status Report
- › Name – Replace this value with the name and always use hyphens instead of spaces. Additional text or details to the name of the file (No initials, change details, etc.) will not be added. The Revision History table included in each document template will be used to include the details of what was changed in each version. Abbreviate names to the degree that it is still meaningful (i.e., MSR for Monthly Status Report). If the document is a DED or Deliverable, the name should be the deliverable name.
  - › MMDDYY: month, day, year. In the case of a Deliverable, this would be the due date of the deliverable. For a DED or work product, the date would be the date the document is planned for submission.
  - › V### is the version tracking (See below).

### 20.5.3 Document Repository and Version Control

The Document Repository is established in the AgCSS Project SharePoint site and will contain all current and previous versions of deliverable and work product documents. The project team will use Microsoft's SharePoint software as the collaboration tool. This tool provides version control and many additional features that may be implemented to maximize project communications.



**Exhibit 70: Project SharePoint Site – Document Repository**

## 20.5.4 Version Control

The project will standardize version control for all project artifacts. This will provide consistent document versioning. The following steps will be followed for each project artifact:

- Each new draft document will start at version 001;
- Increment the version number on each submission to FDACS by 001 until FDACS has approved the document;
- Use 100 for the first approved version;
- If subsequent revisions are made, increment by 001 until another approval, which would be 200. Continue this pattern as necessary.

## 21 Acronyms and Definitions

A list of acronyms and terms referenced throughout the document can be found in the table below:

ACRONYM / TERM	DEFINITION
Action Items	Action items are independent tasks which require follow up, but are not part of deliverables, risk, issues, or decisions, and are not in the project schedule. Typically, action items are recorded when there is an activity which has a due date greater than a week out, or will require coordination between multiple individuals.
Applicant	A person, individual, corporation, LLC, or partnership applying for a license or permit from FDACS.
Application	Submission of specified information and fees (if required), as a request for approval to conduct a regulated activity. License application is a general term that also applies to permits, certification, registrations, education and educational providers. Not all license applications lead to approval as they may not ultimately be approved by the regulating authority.
AST	Agency for State Technology
Authorized User	Any person(s) who has permission to use department and/or various functions pertaining to their specific job requirements.
Business Day	Days on which the department conducts routine business. This is typically Monday through Friday from 8 a.m. to 5 p.m. local time, excluding evenings, weekends and department observed holidays.
Contract	The written, signed agreement resulting from, and inclusion of, this ITN, any subsequent amendments thereto and the proposer’s proposal.
Contract Amendment	Any written alteration in the specifications, delivery point, rate of delivery, Contract period, price, quantity, or other Contract provisions of any existing Contract, whether accomplished by unilateral action in accordance with a Contract provision, or by mutual action of the parties to the Contract; it shall include bilateral actions, such as administrative changes, notices of termination, and notices of the exercise of a Contract option.
Contract Manager	The person who shall be responsible for enforcing performance of the contract terms and conditions and serve as a liaison with the contractor as required by Section 287.057(15), F.S.
Contractor	A firm that the state contracts with to provide services defined in the ITN.

ACRONYM / TERM	DEFINITION
COTS	Commercial-Off-The-Shelf, a term for software or hardware, generally technology or computer products, that are ready-made and available for sale, lease, or license to the general public
Customer	External users utilizing the FDACS system to add, change, delete, or inquire. A customer can be a licensee, an applicant, a member of the general public, or other users of the system.
Days	Calendar days unless specified as otherwise
DDI	Design, Development and Implementation
DED	Deliverable Expectations Document
Defect	A failure of a configuration, modification, and/or customization of the software to operate in accordance with the Acceptance Criteria or ITN functional or technical requirements or a failure of the Software to operate in accordance with the Software program documentation.
Deliverable	Any document deliverable, software deliverable or service that the contractor is required to provide the state under the Contract.
Department	The Florida Department of Agriculture and Consumer Services (FDACS, or department).
Disaster Recovery Plan	A plan to ensure continued business processing through adequate alternative facilities, equipment, back-up files, documentation and procedures in the event that the primary processing site is lost to the contractor.
DMS	Department of Management Services
DoA	Division of Administration
Documentation	Refers to various types of document that will have to be prepared by the contractor and provided to the department in a form and format specified by the state. Types of documentation include, but are not limited to, pre and post meeting documentation, system documentation, technical documentation, training documents etc.
DoL	Division of Licensing
External User	Synonymous with customer - a licensee, an application, a member of the general public or other users of the system.
F.A.C.	Florida Administrative Code
F.S.	Florida Statutes
FDACS	Florida Department of Agriculture and Consumer Services
Fees	Costs or payments related to licensing (e.g. application fees, license/permit fees, renewal fees, education fees, and processing fees).
FFP	Firm Fixed Price



ACRONYM / TERM	DEFINITION
Final Acceptance	The point in the lifecycle at which the System Implementation is complete for all phases of the system and the department agrees that the production system has performed for a pre-defined period (Software Production Verification) according to all Acceptance Criteria and System Requirements in the production environment.
Fiscal Year	FDACS operates on a fiscal year from July 1 through June 30.
<b>GCOM or GCOM Software</b>	The AgCSS System Integration Vendor. Also referred to as the DDI (Design, Development and Implementation) Vendor.
Geographic Information System (GIS)	An information management system capable of modeling business processes, scientific or industry methods, and natural/human phenomena across a landscape.
Historical Information	Prior details about an event, item, or activity
Identified Risks	Identified risks –the project team considers information on identified risks when producing estimates of activity durations, since risks can have a significant influence on duration. The project team considers the extent to which the effect of risks is included in the baseline duration estimate for each activity, including
Information System(s)	A combination of computing and telecommunications hardware and software that is used in: (a) the capture, storage, manipulation, movement, control, display, interchange and/or transmission of information, i.e., structured data (which may include digitized audio and video) and documents as well as non-digitalized audio and video; and/or (b) the processing and/or calculating of information and non-digitalized audio and video for the purposes of enabling and/or facilitating a business process or related transaction.
Information Technology (IT)	Any equipment, or interconnected system(s) or subsystem(s) or equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the department. IT includes computers, ancillary equipment, software, firmware, and similar procedures, services (including support services), and related resources.
Inspections	An inspection will be conducted by a FDACS agent after a new application has been reviewed by the department. The agent will bring a copy of the rules and regulations. They will also verify that the establishment meets the qualifications of the type of permit applied for, and in some cases, determine the required license fee. Renewal inspections are done prior to the expiration of a license, and routine inspections can be done periodically during the license term.

ACRONYM / TERM	DEFINITION
Interface Testing	Test that verifies the integration of the components. Progressively larger groups should be tested until the software works as a system. These test results should be available to the department if requested.
Internal User	Users of the licensing system who work for the department participating in the licensing project. These users generally process, review or manage information provided by license applicants or other non-state people who use the system (external users).
Invoice	Contractor’s itemized document stating prices and quantities of goods and/or services delivered and sent to the buyer for verification and payment.
ITN	Invitation to Negotiate, the department’s ITN #XXXXXXXX
IV&V	Independent Verification and Validation
IVR	Interactive Voice Response
JAD	Joint Application Design
Lessons Learned	Lessons Learned are any useful information or experience gained through the course of the project that can be applied to a later phase or project activity. Currently, only lessons learned which have a significant impact on the track are captured.
License	The department issues several licenses to qualified applicants. The license must be prominently posted in a conspicuous location in your licensed establishment.
License Application	Submission of specified information and fees (if required), as a request for approval to conduct a regulated activity. License application is a general term that also applies to permits, certifications and registrations as well as licenses. Not all license applications lead to the approval and granting of a license, permit, certification or registration as they may not ultimately be approved by the regulating authority.
LOE	Level of Effort activities are support tasks that do not directly tie to project deliverables but still require the efforts of project resource. These ongoing activities do not add time to the project. Examples of these activities include but are not limited to sending email and updating timesheets.
Mandatory Requirements	Requirements that the Respondent must meet in order to be eligible for contract award.
Materially Deficient	Significant deficiency or combination of deficiencies in the deliverable that does not meet minimal acceptable standards as defined in the Deliverable Expectation Document (DED).

ACRONYM / TERM	DEFINITION
Milestone	The measuring point used to review and approve progress, to authorize continuation of work, and, depending on the terms of the Contract, to pay for work completed.
Mobile Device	A computing platform that not meant to be stationary. Examples include but are not limited to laptops, tablets, iPhones, iPads and Android devices.
MPS	Master Project Schedule
OCM	Organizational Change Management
Online	Interaction between a user operating a cathode ray tube (CRT), personal computer, or point of service (POS) device to send and receive information on a video display via a telecommunications network to a central processing unit (CPU).
Owner	The individual who is the final authority and decision maker in determining how data and resources are used in FDACS' business and what level of access will be granted to them.
PCR	Project Change Request
Performance Testing	Tests a completely integrated system to verify it meets requirements. This test should validate that the system is working as expected, that it doesn't destroy or partially corrupt its operating environment, and that it doesn't cause other processes to become inoperable. The goal of the capacity testing is to identify the right amount of resources required to meet the service demands now and in the future. These results shall be communicated to the department.
Permit	Permits are generally issued to individuals or business. The individual holder of the permit is responsible for renewal of a permit prior to the expiration of that permit and the permit is the sole property of such individual holder. There is no grace period for an expiring permit.
PMBOK®	A Guide to the Project Management Body of Knowledge; A library of project management skills, tools and standards used by the Project Management Institute to measure and certify Project Management Professionals.
PMI	Project Management Institute
PMO	Project Management Office
PMP	Project Management Plan
Policy and Procedures	The manual to provide guidance for internal regulations and procedures for department employees.
PPMO	Project and Portfolio Management Office
Project	The AgCSS Project

ACRONYM / TERM	DEFINITION
Project Management Institute (PMI)	A body that certifies Project Management Professionals.
Purchasing Director	FDACS Procurement lead resource
Resource Capabilities	The duration of most activities will be influenced by the capabilities of the human and material resources assigned to them.
Resource Requirements	A description of the types of resources needed and in what quantities for each element at the lowest level of the WBS. Resource requirements for higher-levels within the WBS can be calculated based on the lower-level values. If additional resources are added, projects can experience communication overload, which reduces productivity and causes production to improve proportionally less than the increase in resource.
AgCSS	Regulatory Lifecycle Management System
AgMPS	AgCSS Master Project Schedule
Schedule IV-B	Schedule IV-B is a manually prepared schedule submitted annually to support Florida Legislative Budget Requests (LBR) for Information Technology Projects in the State of Florida.
SDLC	System Development Life Cycle
SI	Systems Integrator
SLA	Service Level Agreement
SOW	Statement of Work
Sprint	A four week time box used to measure progress against plan. The DDI team will plan the work in four week increments (during the rolling wave), Progress against the plan is measured at the end of the four week period (sprint).
Stakeholders	Anyone affected in any way by the project being conducted, or the outcome of the project.
State	State of Florida
Status	The state of a department record [license/permit/education] at a particular time to be defined by business rules.
System Documentation	Documents that contain the technical description of the configuration, components and operation of the AgCSS.
System Implementation	The period in the project management lifecycle where the system is moved from a test environment to the live production environment and the system starts to be used for real business transactions.
System Requirement	A defined business function that is a required component of the new system, specified in the ITN and Appendix 6 Functional and Technical Requirements, as

ACRONYM / TERM	DEFINITION
	well as any detailed requirements established during the Business Process Reengineering and System Design phase of this project.
System Testing	Test that verify the functionality of a specific section of code, at the function level. As documented above this is the Vendor’s responsibility and shall ensure that the building blocks of the software work independently from each other and should increase quality of overall development.
Task Assumptions	A set of expectations about project tasks
Task Constraints	Factors that limit or constrict how, when, or if a task is performed.
TBD	To be determined
Transaction	Any activity carried out, performed, managed or conducted by a user of the system.
UAT	User Acceptance Test
UI	User Interface
User	Anyone who employs the services provided by the system. The user can be an individual visitor to the FDACS website, an applicant or licensee, a licensing department staff member, or recipient of specific content from the system. See also Authorized User.
User Acceptance Test (UAT)	Testing performed by department/state and acts as a final verification of the required business functionality and proper functioning of the system. It emulates real-world usage conditions.
Virtual Private Network (VPN)	VPN extends a private network across a public network, such as the Internet. It enables a computer or wireless enabled device to send and receive data across shared or public networks as if it were directly connected to the private network, while benefiting from the functionality, security and management policies of the private network.
Work Breakdown Structure (WBS)	A graphical representation of the hierarchy of project deliverables and their associated tasks. As opposed to a project Schedule that is calendar-based, a WBS is deliverable-based, and written in business terms.
Workflow	Sequence of tasks. A workflow describes the order of a set of tasks performed to complete a given procedure within an organization.

Some additional acronyms:

<b>AC</b>	<b>Actual Cost</b> The actual cost of a project represents the true total and final costs accrued during the process of completing all work during the pre-determined period of time allocated for all schedule activities as well as for all work breakdown structured components.
<b>AgCSS</b>	<b>Agriculture and Consumer Services System</b>
<b>ALM</b>	<b>Application Lifecycle Management</b>
<b>AUP</b>	<b>Agile Unified Process</b> A simplified version of the Rational Unified Process (RUP) developed by Scott Ambler. It describes a simple, easy to understand approach to developing business application software using agile techniques and concepts yet still remaining true to the RUP.
<b>BAC</b>	<b>Budget At Completion</b> The total planned value (PV or BCWS) at the end of the project. If a project has a Management Reserve (MR), it is typically not included in the BAC, and respectively, in the Performance Measurement Baseline.
<b>BCWP</b>	<b>Budgeted Cost of Work Performed</b> Also called Earned Value (EV), is the budgeted cost of work that has actually been performed in carrying out a scheduled task during a specific time period. ... BCWP is a term in Earned value management approach to Project management.
<b>BCWS</b>	<b>Budgeted Cost of Work Scheduled</b>
<b>BI</b>	<b>Business Intelligence</b> Business Intelligence (BI) comprises the set of strategies, processes, applications, data, technologies and technical architectures which are used by enterprises to support the collection, data analysis, presentation and dissemination of business information.
<b>BPR</b>	<b>Business Process Re-engineering</b> Business process re-engineering (BPR) is defined as an integrated set of management policies, project management procedures, and modeling, analysis, design and testing techniques for analyzing existing business processes and systems; designing new processes and systems; testing, simulating and prototyping new designs prior to implementation; and managing the implementation process.
<b>CCB</b>	<b>Change Control Board</b>
<b>CPI</b>	<b>Cost Performance Index</b> The cost performance index is a ratio that measures the financial effectiveness of a project by dividing the budgeted cost of work performed by the actual cost of work performed. If the result is more than 1, as in 1.25, then the project is under budget, which is the best result.
<b>CPM</b>	<b>Critical Path Method</b> The critical path method (CPM) is a step-by-step project management technique for process planning that defines critical and non-critical tasks with the goal of preventing time-frame problems and process bottlenecks. The CPM is ideally suited to projects consisting of numerous activities that interact in a complex manner.
<b>EAC</b>	<b>Estimated At Completion</b>

<b>ETC</b>	<b>Estimate To Complete</b>
<b>EV</b>	<b>Earned Value</b> Earned Value calculations require the following: Planned Value (PV) = The budgeted amount through the current reporting period. Actual Cost (AC) = Actual costs to date. Earned Value (EV) = Total project budget multiplied by the % complete of the project.
<b>EVM</b>	<b>Earned Value Management</b> Helps project managers to measure project performance. It is a systematic project management process used to find variances in projects based on the comparison of worked performed and work planned. EVM is used on the cost and schedule control and can be very useful in project forecasting.
<b>Kanban Board</b>	<b>A Kanban board</b> is a work and workflow visualization tool that enables you to optimize the flow of your work. Physical <b>Kanban boards</b> , typically use sticky notes on a whiteboard to communicate status, progress, and issues.
<b>OATS</b>	<b>Office of Agriculture Technology Services</b>
<b>PPM</b>	<b>Project Portfolio Management</b>
<b>PV</b>	<b>Planned Value</b> The authorized budget assigned to work to be accomplished for an activity or WBS component.” You calculate Planned Value before actually doing the work, which also serves as a baseline. Total Planned Value for the project is known as Budget at Completion (BAC).
<b>RAID</b>	<b>Risks, Assumptions, Issues and Dependencies</b>
<b>RTM</b>	<b>Requirement Traceability Matrix</b> A traceability matrix is a document, usually in the form of a table, used to assist in determining the completeness of a relationship by correlating any two baselined documents using a many-to-many relationship comparison.
<b>SPI</b>	<b>Schedule Performance Index</b> A ratio of the earned value (EV) to the planned value (PV). $SPI = EV \div PV$ . If the SPI is less than one, it indicates that the project is potentially behind schedule to-date whereas an SPI greater than one, indicates the project is running ahead of schedule.

## 22 References

The table below documents key documents referenced in this PMP or used as source documents.

DOCUMENT	LOCATION
Schedule IV-B	AgCSS Project website
Business Process Reengineering Plan	AgCSS Project website
Updated Implementation Plan	AgCSS Project website
Draft ITN Procurement Document	AgCSS Project website
Procurement Plan (Schedule)	AgCSS Project website
Project Charter	AgCSS Project website
AgCSS Project Management Plan	AgCSS Project website
Detailed Project Schedule	AgCSS Project website
Project On-Boarding Process	AgCSS Project website
OCM Assessment, Plan & Stakeholder Analysis	AgCSS Project website
OCM Communication and Change Readiness Plan	AgCSS Project website
Workforce Transition Analysis	AgCSS Project website
Workforce Training & Transition Plan	AgCSS Project website
Skill-Gap Recommendations Document	AgCSS Project website
Application/Data Portfolio Assessment and MDM Plan	AgCSS Project website
Data Conversion Assessment and Migration Plan	AgCSS Project website
Data Migration Assessment Environment Operational	AgCSS Project website
Enterprise Use Cases and Supporting Materials	AgCSS Project website
Enterprise Regulatory Business Requirements and Functional Needs Document	AgCSS Project website



## 23 Appendices

### 23.1 Appendix A – Risk Identification Questionnaire

This Risk Identification Questionnaire contains standard questions that will be used to identify risks in a variety of project areas. The questions are designed to stimulate risk analysis within the RMT. However, the items on the questionnaire are not the project risk items themselves, but rather a tool to help identify and capture the unique FDACS AgCSS project risks.

The questionnaire shown here is based on common risks from engagements similar in size and scope to AgCSS. The list has been further enhanced based on reviewing similar questionnaires and checklists from the Software Engineering Institute’s (SEI) technical report on “Taxonomy-based Risk Identification”, the Software Productivity Consortium’s Risk Questionnaire and the Unified Project Management Methodology (UPMM™).

<b>CATEGORY: Political/Legislative/Legal</b>
<input type="checkbox"/> Is the project defined from legislative mandate?
<input type="checkbox"/> What will be the impact of legislative changes/new regulations?
<input type="checkbox"/> What will be the impact of new Revenue Program/Policy initiatives?
<input type="checkbox"/> What will be the impact of legal actions, if any, on the project?
<input type="checkbox"/> What is the impact of non-delivery of project objectives for the citizens of the State?
<input type="checkbox"/> What is the liability to the State for non-delivery of function?
<input type="checkbox"/> What is the potential exposure to news/media coverage for failure to deliver?
<b>CATEGORY: FDACS Leadership</b>
<input type="checkbox"/> Is FDACS senior management committed to the project objectives?
<input type="checkbox"/> Will there be any impact on the project from any changes in the FDACS executive staff or leadership?
<input type="checkbox"/> Will the FDACS leadership be consistent in making decisions in a timely manner?
<input type="checkbox"/> Will there be clearly defined accountability for all decisions taken by the FDACS leadership?
<input type="checkbox"/> Is the organization’s current structure adequate to support this project?
<input type="checkbox"/> Have all managers for the project been designated?
<input type="checkbox"/> Has management authority and responsibility been clearly established and accepted?
<input type="checkbox"/> Do all managers communicate timely and effectively both up and down the organizational structure?
<input type="checkbox"/> Do those responsible for decisions consistently make good, rational choices?
<input type="checkbox"/> Have conflicting organizational objectives been identified and resolved?
<input type="checkbox"/> Do personnel cooperate effectively across functional and organizational boundaries?
<input type="checkbox"/> Are all personnel oriented toward quality procedures?
<b>CATEGORY: Technical Integration</b>

What risks do the lack of coordination and awareness between projects as to scope, progress, issues, and interdependencies, pose to the project?
<input type="checkbox"/> What is the impact due to the lack of coordination with existing systems that impact the FDACS Project?
<b>CATEGORY: Project Management</b>
Will the project management successfully implement and follow the Project Communication Plan?
Will the project management follow agreed-upon issue-resolution procedures?
Will project risks be identified, assessed, monitored, and mitigated in a timely fashion?
Are schedules and work plan milestones being periodically monitored?
What are the measures to be implemented to control the quality of project deliverables?
Is there clear accountability for project deliverables?
Will there be an appropriate balance between project management “doing” versus “overhead” activities associated with being part of the project (e.g., reporting)?
Is there a clear definition or agreement as to what is in or out of scope/changing requirements causing scope change and project delays?
What are the impacts of slow or inadequate decision making by key project staff and subject matter experts?
Is resource management adequate to the needs of the project?
Are the project objectives clear and feasible?
Are the budget estimates stable, reasonable, and precedented?
Are the schedule estimates stable, reasonable, and precedented?
Is existing cost and schedule monitoring sufficient and appropriate to the needs of the project?
Are all support requirements specified and understood?
Are all evolution requirements specified and understood?
Is sufficient budget available for unanticipated updates?
Is sufficient time scheduled for unanticipated updates?
Is the available process documentation adequate for the needs of the project?
Is the available product documentation adequate for the needs of the project?
Is the available development tool documentation adequate for the needs of the project?
Are contingency plans and reserves adequate to cover all likely situations?
Is the amount of anticipated reuse of components reasonable and adequate for the project's needs?
Is current productivity adequate to meet the budget and schedule?
Is the likelihood of exceeding the project's budget acceptable?
Is the likely schedule slippage acceptable?
Is the existing identification of components sufficient and appropriate for the project's needs?

Is the existing configuration control of components sufficient and appropriate for the project's needs?
Is the auditing of components sufficient and appropriate for the project's needs?
Is the existing status accounting sufficient and appropriate for the project's needs?
Are the existing risk management practices sufficient and appropriate for the project's needs?
Are the existing verification and validation techniques sufficient and appropriate for the project's needs?
Do the methods adequately support all aspects of the development project?
Do the methods adequately support the application domain?
<b>CATEGORY: Resources</b>
Are key personnel needs identified?
Is there a contingency plan for resource variances?
Are all project team members trained?
Are project team skill requirements clearly defined?
Are project team assignments based on resource skill requirements?
Does the project team possess the skills necessary to complete the project?
Does the project team understand their roles and responsibilities?
Is there sufficient manpower to complete the project?
Has adequate technical and professional training been made available to the project team?
Does the project team possess the skills to complete the project?
Are the project engineers, technical staff, and infrastructure support staff qualified?
Will key project staff leave before the project is complete?
Is the development team at a central location?
Are there inappropriate identification, scheduling, and prioritization of resources across competing processes (JAD & Testing resources)?
Is project funding based on work-level estimates?
Is project funding secured?
Is project funding sufficient?
Are expected benefits verifiable?
Is there a contingency plan for budget overruns?
What could make the project go over-budget?
Is there a detailed Project Plan at the task level?
Have estimates been provided at the task level?
Has the project critical path been identified?

Is there a contingency plan for schedule variances?
Is actual progress regularly compared to the project schedule?
What would keep the project from completing on time?
<b>CATEGORY: People</b>
Is the project schedule realistic and achievable?
Is there sufficient time for FDACS staff to perform project-related activities, as well as, current job responsibilities?
Will knowledge or skills gaps be identified in reasonable timeframe?
Do project personnel have sufficient relevant experience to perform their duties?
Have all critical personnel previously performed in their current position?
Do all project personnel have sufficient experience in the organization?
Do all of the involved managers understand the project well enough to make informed decisions?
Is current FDACS training sufficient and appropriate for the needs of the project staff?
<b>CATEGORY: Technology</b>
What impact does the failure of key technology systems have on the project?
Are the business functional requirements stable and defined?
Have the technology limitations been understood by FDACS management?
Has the application architecture been understood by FDACS management?
Are all business and technical requirements verified and validated?
Does FDACS management have a complete understanding of the key hardware and software to be used on the AgCSS Project?
Are the project team members knowledgeable on the proposed technology environment?
Are all interfaces identified?
Has a Project Work Plan been developed for the entire system development lifecycle?
Have critical project milestones and checkpoints been defined?
Has the appropriate system development lifecycle been selected?
Will business functional requirement (scope) changes affect the project outcome?
Is the organization ready to support the new application?
Do process policies, standards, procedures, and guidelines exist and if not when are they scheduled to be created?
Are back-up/restart procedures clearly defined and tested?
Do existing and planned prototypes provide a realistic interpretation of the system?
Are all requirements justified (does each one address a specific direct or indirect business or mission need)?
Are the requirement specifications unambiguous?

Are all requirements compatible with each other?
Are the requirement specifications testable?
Are the functional requirements complete and feasible?
Are the safety requirements clear and reasonable?
Are the reliability requirements clear and reasonable?
Is every requirement specific (can they be verified by a test procedure)?
Do the defined tests provide adequate coverage?
Has every requirement been validated (matches user's needs and expectations)?
Can the requirements be allocated into stages?
Are the requirements changing?
Are there any items "to be defined" (TBDs) in the specifications?
Are there requirements that are technically not feasible?
Are there any algorithms or rules that will not meet user requirements?
Will there be sufficient hardware to integration test?
Are the requirements reasonable to implement (not unusually demanding)?
Are all new support requirements identified?
Are all applicable standards included?
Are all cited standards applicable?
Does the architecture provide a modular structure for the product?
Are all defined interfaces necessary and appropriate?
Are all defined components necessary and appropriate?
<b>CATEGORY: Stakeholder Impact</b>
Does the project align with the Department's overall business strategy?
Are the expected outcomes clearly defined?
Have all project stakeholders been defined?
Have all the relevant project stakeholders been consulted and updated on the progress?
Have metrics been established to verify completion of each phase?
Has the impact of late system or functional delivery been analyzed?
Has the impact of cost overruns been analyzed?
What will be the impact on the community due to the failure of this project?

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**REGULATORY LIFECYCLE  
MANAGEMENT SYSTEM (RLMS) PRE-  
DDI PROJECT**

*D4A-B-C Stakeholder Analysis, OCM  
Assessment, and OCM Approach / Plan*

Date: 01/13/2016  
Version: 100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
09/21/2015	North Highland	001	Initial draft
11/02/2015	North Highland	002	Content development
11/30/2015	North Highland	003	Ongoing edits
12/10/2015	North Highland	004	Revisions after D5A review process
12/15/2015	North Highland	005	Edits for QA
12/22/2015	North Highland	006	Final Edits for QA
01/06/2016	North Highland	007	Edits following FDACS Review
01/12/2016	North Highland	099	Pre signoff
01/13/2016	North Highland	100	Baseline

### Quality Review

NAME	ROLE	DATE
Lori Nolen	Internal NH QA	12/16/2015
Scott Rainey	Internal NH QA	12/20/2015





## SECTION 1 INTRODUCTION

North Highland has been asked to assess the Regulatory Lifecycle Management System (RLMS) Project (project) Organizational Change Management (OCM) needs and develop communication and stakeholder strategies to facilitate implementation and change. This deliverable contains the Stakeholder Analysis, the OCM Assessment, and the OCM Approach / Plan to address overall change management needs, strategies and activities. The goal of the OCM workstream activities is to help the Florida Department of Agriculture and Consumer Services' (FDACS, the department) stakeholders become comfortable with, and able to move to, the new RLMS environment and operating model and effectively leverage the new system in delivering regulatory services.

Specifically, and at its core, the RLMS will change the way people work to deliver activities across the regulatory lifecycle and the way related technology is supported across the department. With the anticipated improvement in system capabilities (such as workflow, business rules, mobile access, and self-service) some data entry tasks will shift from FDACS staff to the customer, offering FDACS staff the opportunity to spend more time on higher-priority duties, and for staff in the field to move towards paperless workflow and real-time data management. Migrating to RLMS presents significant opportunities for efficiency gains and requires significant changes to the way the department and its employees work today.

Effective OCM is associated with greater probability of project success (achieving the full benefit of RLMS), increased management buy-in, and faster adoption / execution of the desired change. A robust OCM Approach / Plan is a roadmap for successful change adoption, and supports FDACS employees and other stakeholders as they become aware of the changes, adapt to, and benefit from new processes and tools.

OCM activities North Highland is undertaking through this workstream to support FDACS include:

- Articulating the benefits of the change clearly and consistently
- Identifying and assisting key leadership and management sponsors in supporting change
- Identifying stakeholder groups impacted by the change
- Planning and executing communications to support key stakeholder needs
- Identifying and proposing opportunities for stakeholder involvement and communication
- Planning for and executing an information sharing approach for stakeholders regarding the new system, processes, policies, procedures, and responsibilities
- Assessing and managing resistance to change
- Considering training needs and formats

The North Highland RLMS Pre-Design, Development and Implementation (Pre-DDI) OCM workstream activities are also designed to ensure that activities to deliver effective and

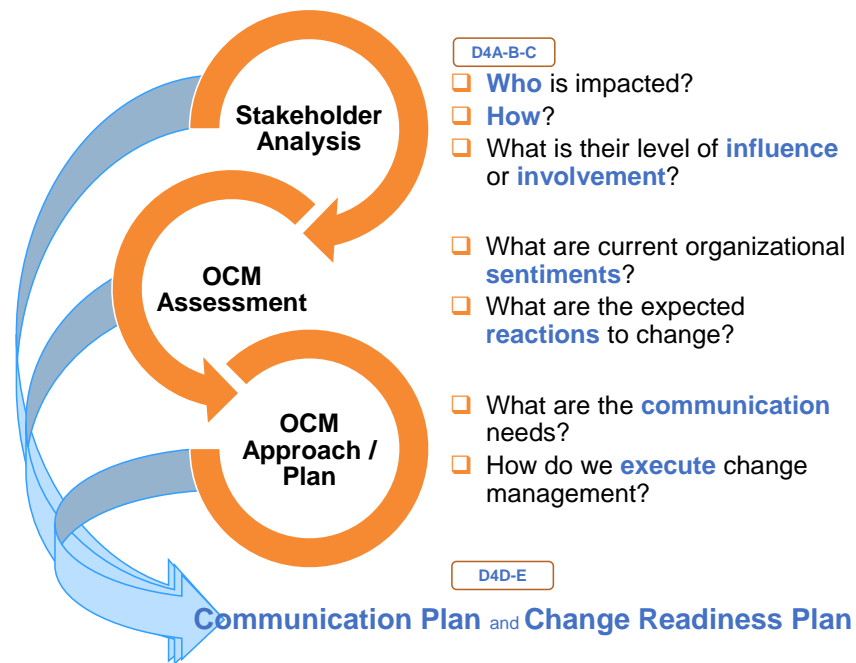


successful change management and communications are incorporated throughout the life of the RLMS project through the repeatable OCM and communication tools and processes developed in this document.

Additionally, Workforce Transition and OCM workstream activities are coordinated, and findings and recommendations from the Workforce Transition deliverables shape OCM activities and feed into assessing the needs of stakeholders and on how to guide the organization in responding to the changing environment of its workforce, consumers and other stakeholders.

### 1.1 PURPOSE

The purpose of Deliverable D4A-B-C Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan is to provide foundational information and insight about RLMS project stakeholders; understand and assess their change needs; and articulate an approach, and establish a plan to execute OCM activities. This deliverable is also the supporting document for planning other critical transformation activities, including training and externally-focused communications. The key questions formulated in each section of this document are captured in Exhibit 1: OCM Workstream below and show how related deliverables (Deliverable D4D-E – OCM Communication Plan and OCM Readiness Assessment Plan) are driven by the findings and approaches developed in this document.



**Exhibit 1: OCM Workstream Activities**



## 1.2 DESCRIPTION

This document (Deliverable D4A-B-C) pertains to key individuals or groups that are impacted by, or can impact, the RLMS project (stakeholders) and primarily focuses on managing changes associated with Release 1 of RLMS.

The Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan identify observations by stakeholder group, including the estimated impact of the change, current perceptions about change, and issues that may impede change. The document includes high-level recommendations for change management approaches to support successful change for specified entities or groups. Additionally, it lays out a recommended approach for managing change across the RLMS Design Development and Implementation (DDI) phase and establishes a base from which future OCM support activities may be planned and executed through the life of the project.

**Section 2: North Highland Approach / Assumptions** provides an overview of North Highland's approach to performing the stakeholder analysis. This section highlights North Highland's conceptual approach to this aspect of the pre-DDI phase; identifies the specific tasks that were completed in connection with its analysis; and, outlines some of the basic assumptions that preceded the analysis.

**Section 3: Stakeholder Analysis and Organizational Impact** is based on the Stakeholder Analysis Matrix (see [Attachment I: Stakeholder Analysis Matrix](#)). By its dynamic nature, the Stakeholder Analysis Matrix is intended to be a living document throughout the deployment of RLMS releases. This document, therefore, may not currently identify all existing stakeholders – only those known or anticipated to be relevant for the project at the time of writing. The appointed resource(s) responsible for overseeing OCM for the RLMS project on an ongoing basis can extract the Stakeholder Analysis Matrix and modify it as future discovery reveals potential new stakeholders or additional detail regarding stakeholder impact and needs.

**Section 4: OCM Assessment** presents the results of the OCM Information Request, assessing expected stakeholder groups' reaction to change, and develops the OCM Vision and Strategy for RLMS implementation.

**Section 5: OCM Approach / Plan** provides a recommended methodology and strategy for conducting OCM activities during the RLMS DDI phase and beyond.

**Section 6: Findings / Observations and Recommendation** provides findings that will be addressed in the Communication Plan and in the Change Readiness Assessment Plan (Deliverable D4D-E) and / or in the Workforce Training Plan and Workforce Knowledge, Skills, and Abilities Transition Plan (Deliverable D5B-C).



### 1.3 SCOPE

The scope of the entities addressed in this deliverable includes individuals, teams and functional areas within FDACS that perform regulatory lifecycle-related activities. This includes both Full-Time Equivalent (FTE) and Other Personal Services (OPS) positions.

Areas in scope for RLMS Release 1 are:

- Division of Licensing (DOL)
- Related revenue collection and processing and mailroom roles / activities in the Division of Administration (DOA)
- Office of Agricultural Law Enforcement (AgLaw), for the purposes of the regulatory investigative activities it performs on behalf of DOL

Areas in scope for future RLMS releases are:

- All other bureaus within divisions which perform regulatory lifecycle-related activities

Areas not in scope:

- Any bureau within a division or office which does not perform regulatory lifecycle-related activities
- Inspections carried out by the Division of Fruit and Vegetables (F&V) on behalf of the USDA (e.g., tomatoes and peanut grading)

While OCM activities and communications with consumers, customers and the general public are not specifically in scope, the deliverables identifies these groups and provide high-level recommendations for the content and timing of communications.

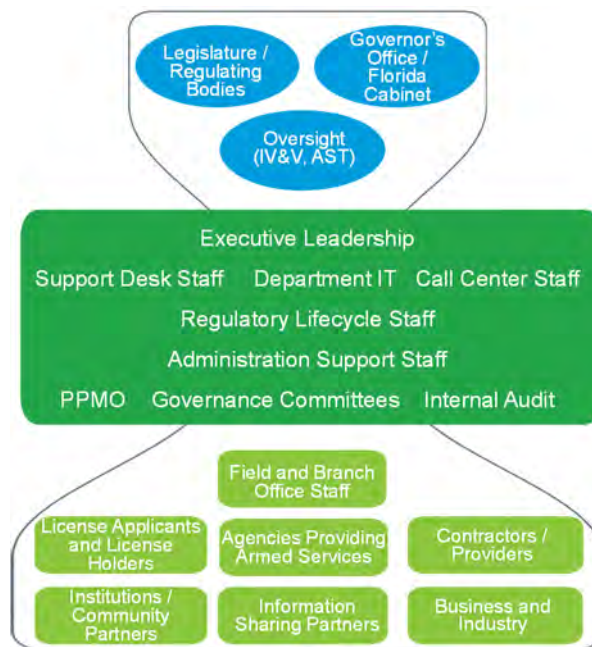


## SECTION 2 NORTH HIGHLAND APPROACH / ASSUMPTIONS

### 2.1 APPROACH

A clear understanding of internal and external stakeholders for each phase of the RLMS project is essential for effectively managing change. North Highland’s approach to stakeholder analysis helps ensure key stakeholders are identified, and allows for the development of transition support activities customized to meet stakeholders’ needs.

The Exhibit below outlines a conceptual view of key FDACS’ RLMS project stakeholder groups. Governmental entities are shown in blue, centralized department staff is shown in dark green, field-located staff, customers and partners are shown in pale green.



**Exhibit 2: RLMS Stakeholders Overview**

OCM efforts will be focused across internal and external groups whose roles and activities will change in the future.

To inform FDACS OCM deliverables, North Highland collected documentation and data for information on:

- Employees currently using systems that will be replaced or affected by the RLMS
- Current or planned changes to the organization and / or employee roles
- FDACS’ current communications processes and training practices

Activities North Highland has performed specific to this deliverable are:



- Reviewed relevant documentation made available by the department
- Performed information requests and surveys of FDACS divisions
- Conducted information gathering meetings with FDACS representatives
- Attended, and collected observations from, workshops conducted by other North Highland workstreams

#### Inputs:

- Interviews with leadership of impacted divisions and administrative functions
- FDACS division organizational charts
- Information gathered at project workshops
- Background documentation submitted by FDACS
- Workforce Transition workstream Information Request
- Business Process Re-engineering (BPR) workstream information
- OCM Information Requests

#### Outputs:

- Stakeholder Analysis and Organizational Impact
- OCM Assessment – and supporting documentation
- Findings / Observations and Recommendations
- An RLMS OCM Functional Model
- A recommended OCM Approach
- A spreadsheet tool to be updated throughout the project (found in Attachment I: Stakeholder Analysis Matrix)

## 2.2 ASSUMPTIONS

Assumptions for this analysis are:

- There is **widespread support** at the highest levels of responsibility in the department for the vision guiding this effort and for implementing the changes the analysis drives – to achieve quality, consistency and expediency goals in regulatory services.
- All assessments, findings and recommendations supporting this deliverable reflect information as valid at this given point in time. The nature of any change is dynamic over the life of a project.
- For the purposes of this document, RLMS Release 1 is assumed to **primarily impact** DOL, Tax Collectors, and AgLaw regulatory investigators. DOA has also been



assessed for RLMS Release 1 and it was determined the majority of the change impacts to DOA are in the mailroom and related support activities.

- The **Stakeholder Analysis Matrix** will be maintained as a separate document and updated throughout the life of the project and be **revised** – as new stakeholders are identified, as project events trigger a need, or as the project moves through subsequent releases.
- This document reflects the current status of organizational changes occurring in DOL. It is assumed that some positions, processes and job functions may remain in a **transitional state** and that these factors may impact some of the findings and recommendations. Changes that impact stakeholder management can be tracked in the Stakeholder Analysis Matrix.
- Anticipated enhanced efficiencies and higher productivity levels achieved with the Future Operating Model for RLMS (presented in Deliverable D5A – Workforce Transition Analysis) are not projected to result in loss of **positions** (except through natural attrition), but that capacity will be deployed to meet future need.
- To the extent possible, preferred **communication vehicles** and media have been considered.



## SECTION 3 RLMS STAKEHOLDER ANALYSIS AND ORGANIZATIONAL IMPACT

People are the critical success factor in any transformation journey. OCM is about providing “people links”, and performing a stakeholder analysis is the first step to identifying the people who are affected by, or can affect, the change undertaken.

OCM is a comprehensive set of practical and proven strategies, tools, and tactics designed to mitigate the business and human risks associated with major organizational change. It is the process of aligning people with changes in strategy, business processes, and technology to help an organization achieve goals associated with a particular change initiative. The Exhibit below shows how individuals (People) must navigate through change, embrace technology transformation (RLMS implementation phases), and strive towards achieving the department’s strategic goals by maximizing quality, consistency and expediency.



**Exhibit 3: OCM Provides People Links**

The successful outcome of any project relies on effective communications with the broad stakeholder population. Specific elements of effective communication for the project are stakeholder-driven; therefore, the planning process includes identifying stakeholders. The goals of stakeholder identification (discovery) and analysis are to determine the most effective types and frequency of information stakeholders need to be ready and willing to move to the future state.





Stakeholder involvement throughout the project also results in greater assurance of implementation success. Effective and timely involvement enables people to understand, and take part in, change rather than feel it is being imposed on them. This increases speed of adoption of new processes and technologies.

The Stakeholder Analysis Matrix is a proven tool for planning the requisite OCM activities for material transformation initiatives, such as the RLMS implementation, that impact an organization's way of doing business.

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

- Entities and individual participants
- Role in the project
- Project communication needs
- Project impact assessment
- Special considerations, if any

Sections 3.1-3.4 below identify and document the stakeholders affected by the RLMS project; apply the North Highland OCM principles, experience and approaches; and provide analysis and inputs for the development and execution of the OCM Assessment in Section 4 and subsequent OCM deliverables.

[Attachment I: Stakeholder Analysis Matrix](#) contains the following content tabs:

- 0 – Instructions
- 1 – Identified RLMS Stakeholders
- 2 – RLMS Stakeholder Analysis
- 3 – Influence - Interest Grid
- 4 – Proposed RLMS Change Champions

The development and relevance of these tabs, which in total capture the overall stakeholder analysis, is detailed in the following sections.

Additionally, [Attachment II: OCM Information Request and Assessment](#) spreadsheet captures responses from the divisional survey to FDACS leadership in these tabs:

- Instructions
- Consolidated responses
- And a subsequent tab for each of the divisions that received and/ or provided input to the survey



### 3.1 STAKEHOLDER DISCOVERY

The Exhibit below presents the discovery stage of the stakeholder analysis and is the first step to broadly cataloging the set of potential stakeholders across and outside the department that may be affected by RLMS.

In the discovery phase of the stakeholder analysis, North Highland cast a wide net to list individuals or groups who could potentially impact, or be impacted by, the RLMS. The impact assessment documented in the Exhibit below allowed us to identify, and narrow the set of, individuals and roles that are impacted by the RLMS initiative – and to estimate to what degree, cumulatively over the span of the implementation effort, change management support is needed.

STAKEHOLDER	
A potentially affected specific audience; a grouping of people / roles with similar issues, needs, type and degree of impact who can affect the project or are affected by the project group (e.g., Division Director, Bureau Chief / Bureau Staff, External Entities, etc.)	
CUMULATIVE IMPACT – DEGREE OF CHANGE RESULTING FROM THIS PROJECT	
<b>N/A</b>	<ul style="list-style-type: none"> <li>No direct impact or potentially a need for peripheral awareness</li> </ul>
<b>Low</b>	<ul style="list-style-type: none"> <li>Minimal changes to day-to-day roles</li> <li>Stakeholders need to be aware of the change</li> <li>Often management or leadership of impacted Groups</li> </ul>
<b>Medium</b>	<ul style="list-style-type: none"> <li>Moderate changes to day-to-day roles</li> <li>Changes to processes, technology, roles and responsibilities, etc. are less than ~30% of their job</li> </ul>
<b>High</b>	<ul style="list-style-type: none"> <li>Significant changes to day-to-day roles</li> <li>Changes to processes, technology, roles and responsibilities, etc. are more than ~30% of their job</li> </ul>
THE PHASE / RELEASE OF THE PROJECT IN WHICH THE IMPACT IS ASSESSED	
<b>ITN</b>	<ul style="list-style-type: none"> <li>Invitation to Negotiate</li> </ul>
<b>DDI R1</b>	<ul style="list-style-type: none"> <li>Design, Development and Implementation (DDI) for RLMS Release 1</li> </ul>
<b>DDI R2+</b>	<ul style="list-style-type: none"> <li>DDI for RLMS Release 2 or subsequent releases</li> </ul>

**Exhibit 4: RLMS Impacted Stakeholders Identification Legend**

Stakeholder	Cumulative Impact (H, M, L)	ITN Phase	DDI R1 Phase	DDI R2+ Phase
<b>Executive Leadership</b>	L	L	L	L
Commissioner	L	L	L	L
Assistant Commissioner, Chief of Staff	L	L	L	L
Deputy Commissioners	L	L	L	L
<b>DOL Division Director</b>	L	L	L	N/A
Assistant Director	M	M	M	N/A
Bureau of Licensing Support Services	H	H	H	N/A
IT Support (Regulatory Applications & Other)	H	H	H	N/A
Bureau of Licensing Issuance	H	H	H	N/A
Regional Offices (n=8)	H	H	H	N/A



Stakeholder	Cumulative Impact (H, M, L)	ITN Phase	DDI R1 Phase	DDI R2+ Phase
Public Inquiry Section	H	H	H	N/A
Bureau of Regulatory Enforcement	H	H	H	N/A
Compliance Services	H	H	H	N/A
Attorney Section	H	H	H	N/A
<b>DOA Division Director</b>	L	L	L	L
Assistant Director	M	M	M	M
Bureau of Finance and Accounting	L	L	L	L
Disbursements Unit (Including Refunds)	L	L	L	L
Financial Management Unit	L	L	L	L
Revenue Management Unit	L	L	L	L
Revenue Processing	L	L	L	M
Grants	N/A	N/A	N/A	N/A
Bureau of General Services	N/A	N/A	M	M
DOA Mailroom	N/A	L	M	H
DOA IT Application Support	M	M	M	M
Bureau of Personnel Management	N/A	N/A	N/A	N/A
<b>Office of AgLaw Director</b>	L	L	L	N/A
Bureau of Uniform Services	N/A	N/A	N/A	N/A
Bureau of Investigative Services	L	L	L	L
Regulatory Investigative Section	M	M	M	H
<b>Tax Collectors Offices (n=40)</b>	M	M	M	M
<b>Other Division &amp; Office Directors (n=11)</b>	L	L	L	L
Assistant Directors (n=11)	M	L	L	M
Impacted Bureau / Section (n=27)	L	L	L	H
Divisional IT Application Support	H	M	M	H
<b>General Counsel's Office</b>	M	L	L	M
<b>OATS Infrastructure and Service Support Staff</b>	H	M	H	H
<b>Non-RLMS Users - Other FDACS Department Units / Staff (Awareness Only)</b>	N/A	N/A	N/A	N/A
<b>FDACS Governance</b>	H	H	H	H
<b>External Stakeholders</b>	N/A	N/A	N/A	N/A
NRA	H	H	H	M
Tax Collectors Association	M	M	M	M
PIRSAC - Private Investigator, Security, Recovery Companies	H	H	H	N/A
Other external entities regulated by FDACS	L	L	H	M
Training School not regulated / licensed by FDACS (e.g., Lively Vo-Tech)	L	L	H	N/A
IV&V	H	H	H	H
<b>Information Sharing Partners</b>	N/A	N/A	N/A	N/A
Clerk of Courts	L	L	L	L
Department of Administrative Hearings	L	L	L	L
Department of Corrections	L	L	L	N/A
Department of Financial Services / Treasury	L	L	L	L
Department of Highway Safety and Motor Vehicles	L	L	L	N/A
Department of State	L	L	L	L



Stakeholder	Cumulative Impact (H, M, L)	ITN Phase	DDI R1 Phase	DDI R2+ Phase
FDLE	H	H	H	H
Homeland Security (ICE)	L	L	L	L
<b>As-Needed Information Partners</b>	N/A	N/A	N/A	N/A
Local Law Enforcement (In- and Out-of-State), Sheriff	N/A	N/A	N/A	N/A
State's Attorney	N/A	N/A	N/A	N/A
Military	N/A	N/A	N/A	N/A
Other Federal Regulators (e.g., USDA)	L	L	L	L
<b>Governmental Stakeholders</b>	N/A	N/A	N/A	N/A
Legislature	M	M	M	M
Governor's Office	L	L	L	L
The Florida Cabinet	N/A	N/A	N/A	N/A
Agency for State Technology (AST)	H	H	H	H
<b>Customers, License and Permit Holders, Applicants, Consumers, General Public</b>	H	N/A	H	H

**Exhibit 5: RLMS Impacted Stakeholders Identification**

### 3.2 STAKEHOLDER GROUPS

North Highland identified and consolidated this relevant set of stakeholders into 13 manageable groups:

1. **Executive Leadership** – The Commissioner, the Assistant Commissioner, the Deputy Commissioners, and other non-project-related department leadership.
2. **Division / Office Directors / Assistant Division Directors**
  - › DOL
  - › DOA
  - › AgLaw
  - › Other Division Directors and Assistant Directors from divisions in which regulatory lifecycle activities occur.
3. **Bureau Chiefs / Section Chiefs**
  - › DOL
  - › DOA
  - › Other division in which regulatory lifecycle activities occur.
4. **FDACS Staff RLMS End Users (including first-level supervisors who are not section chiefs)**
  - › DOL
  - › DOA
  - › Other divisions in which regulatory lifecycle activities occur.



5. **Tax Collectors (External RLMS Users)** – Tax Collectors' office staff who currently use the CWIS system.
6. **IT Support Staff (Regulatory Application Support & Other Roles)** - Regulatory application and other IT support staff in the divisions and Infrastructure, end user support and service desk staff who are currently in OATS.
7. **FDACS Non-RLMS Users** – Primarily FDACS Employees who will not use RLMS, but may work with or know of others who do.
8. **FDACS Governance** – The Governance Body that oversees FDACS decision-making and project prioritization. This group oversees the RLMS Project and makes decisions that greatly impact the design and implementation of the RLMS.
9. **External Stakeholders** – Groups, organizations, advisory bodies, and entities external to FDACS that have influence over the project or can be vocal in support or opposition of the system implementation.
10. **Information Sharing Partners** – Entities with whom FDACS shares data on a daily or frequent basis. RLMS implementation may require coordination with Information Sharing Partners.
11. **As-Needed Information Sharing Partners** – These are entities that receive data requests from FDACS or provide data on an ad hoc basis.
12. **Governmental Stakeholders** – The Legislature, the Governor's Office, the Florida Cabinet, and regulating bodies.
13. **Customers, License and Permit Holders, Applicants, Consumers, General Public** – Any individual who is requesting or receiving a service from FDACS, or is impacted by the RLMS.

Additionally, at times throughout the project, there may be individually identified and named stakeholders. These are individuals who, by their high degree of involvement in the project, may be fully aware of project activities and events and require frequent communication to keep them abreast of issues and decisions.

### 3.3 STAKEHOLDER IMPACT OVERVIEW

This section develops observations and strategy considerations related to managing change at the enterprise level and throughout the life of the RLMS project to determine communications needs and preferences for each stakeholder group.

Stakeholder and organizational impact analyses are generally used to build an understanding of how a major change, in this case the RLMS implementation, will impact people in – and external to – an organization. The primary tool used to capture stakeholder and organizational impact data is the **Stakeholder Analysis Matrix**.

The dimensions of the Stakeholder Impact Overview (Exhibit below) allow us to assess the estimated level of impact on individuals / groups, and help anticipate change acceptance, risk factors, and current levels of resistance to change. Explicit recognition and management of



organizational and individual effects increases the success of change management efforts. This overview is a key input into planning OCM activities, including communications, training and development, and strategies to minimize disruption and maximize the realization of desired organizational benefits.

---

**NUMBER OF PEOPLE IMPACTED**

---

Estimated number of individuals in the stakeholder group impacted by the change

---

**TOTAL LEVEL OF IMPACT / INTEREST**

---

Description of a change that impacts the stakeholder group:

The dimensions that determine the total level of Impact / Interest of a stakeholder or stakeholder group are a function of the:

- amount of *time / exposure* to, and *usage* of, RLMS
  - *interest* (on behalf of a stakeholder group)
  - material *ability to influence, or be affected by*, RLMS implementation (per Shareholder Impact Overview results in Section 3.3)
- 

**Exhibit 6: Stakeholder Analysis Legend**

The RLMS Stakeholder Analysis Overview, presented in the Exhibit below, is an extract of the [Attachment I: Stakeholder Analysis Matrix spreadsheet](#) (2 – RLMS Stakeholder Analysis tab) and is summarized on a Low, Medium, High and minimal effect (N/A) scale.



RLMS Stakeholder	# Impacted	Key Change/ Impact	Impact (H, M, L)
<b>1. Executive Leadership</b>			
The Commissioner, the Assistant Commissioner, the Deputy Commissioners, and other, non-project-related leadership	5 or fewer	No day-to-day involvement with the system. May rely on information/reports produced by the system. Represents the project to external stakeholders (e.g., the Legislature). Negatively impacted if regulatory and licensing functions are not performed properly. (If an RLMS Executive Dashboard is developed, then the change impact could be higher.)	L
<b>2. Division Directors / Office Directors / Assistant Directors</b>			
Directors and Assistant Directors from 12 of FDACS' divisions and 2 offices	14+14	Works with others who will be significantly impacted by RLMS, but has little day-to-day need to use the system. Will rely on reports from the system, and is wholly invested in how the system affects the division's business processes and functions	L
<b>3. Bureau Chiefs / Section Chiefs</b>			
Managers and supervisors responsible for ensuring the work of a bureau is carried out and completed in compliance with policy, rule, or laws	50-75	Will use RLMS to manage staff, business processes, functions and activities. Will access RLMS on a daily basis (in excess of 30% of their workday), but may not complete regulatory or licensing job duties and will supervise staff that use RLMS for most of their job functions	H
<b>4. FDACS Staff RLMS End Users (including first level supervisors who are not section chiefs)</b>			
Primarily FDACS employees who will use the new RLMS to perform Regulatory Lifecycle Management functions	Release 1 = 300 Release 2+ = 1350 1650 total	Will use RLMS almost all of their workday to complete regulatory and licensing functions. Will experience changes to their business processes, will be using new technology, and be required in some cases to be retrained and transition to new support roles	H
<b>5. Tax Collectors</b>			
Tax Collectors' Office staff who currently use the CWIS system	40 offices (total users = 150+)	Will use RLMS in place of the their current Concealed Weapons Intake System (CWIS)	M
<b>6. IT Support Staff (Regulatory Application Support &amp; Other Roles)</b>			
Regulatory application and other IT support staff in the divisions and Infrastructure, end user support and service desk staff who are currently in OATS	150	Moving from a set of discreet, legacy applications for each of the divisions and a much decentralized model, into a more centralized, and federated model of IT support. Anticipated changes to reporting lines for IT application support staff, and changes to the required technologies and competencies that these staff will need	M
<b>7. FDACS Staff (Non-RLMS Users)</b>			
Primarily FDACS employees who will not use RLMS, but may work or interact with others who do	Approx. 2000 FTE	Will not use RLMS and need only to know of it as a Departmental initiative	N/A
<b>8. FDACS Governance</b>			



RLMS Stakeholder	# Impacted	Key Change/ Impact	Impact (H, M, L)
The governance body that oversees FDACS project decision making and prioritization. This group oversees the RLMS project and will greatly impact the design and implementation of the RLMS	12	Will not experience change as a group, but as individuals represented in other stakeholder groups	H
<b>9. External Stakeholders</b>			
Groups, organizations, advisory bodies, and entities external to FDACS that have influence over the project or can be vocal in support or opposition of the system implementation	< 10 groups However, up to 390 individual schools	Influential stakeholders who are "customers" of the RLMS, or who can exert a great deal of influence over the successful roll out. Members of this group must agree with certain steps, stages, or interfaces in the RLMS design.	H
<b>10. Information Sharing Partners</b>			
Groups, organizations, advisory bodies, and entities external to FDACS that have influence over the project or can be vocal in support or opposition of the system implementation	< 10 groups However, up to 390 individual schools	Influential stakeholders who are "customers" of the RLMS, or who can exert a great deal of influence over the successful roll out. Members of the this group must agree with certain steps, stages, or interfaces in the RLMS design	L
<b>11. As-Needed Information Partners</b>			
Entities that receive data requests from FDACS or provide data only as needed	< 5 organizations	These stakeholders may notice changes in the frequency and quality of the requests for and provision of data. There is little impact to this group other than a need for general awareness	N/A
<b>12. Governmental Stakeholders</b>			
The Florida Legislature, the Governor's Office and the Florida Cabinet, Agency for State Technology	< 5	These stakeholders will not use RLMS, but are invested in the successful delivery and functioning of the system. They must be regularly informed of project progress and issues throughout the project	M
<b>13. Customers, License and Permit Holders, Applicants, Consumers, General Public</b>			
Any individual who is requesting or receiving a service from FDACS, or is impacted by the RLMS	Significant	Customers and Consumers will have greater ability to conduct business with the Department via online portals and services. They will likely be required to create an account to take advantage of online services. They will have greater visibility into the status of their requested service	H

**Exhibit 7: RLMS Stakeholder Analysis Overview**

**3.4 STAKEHOLDER INFLUENCE AND INTEREST GRID**

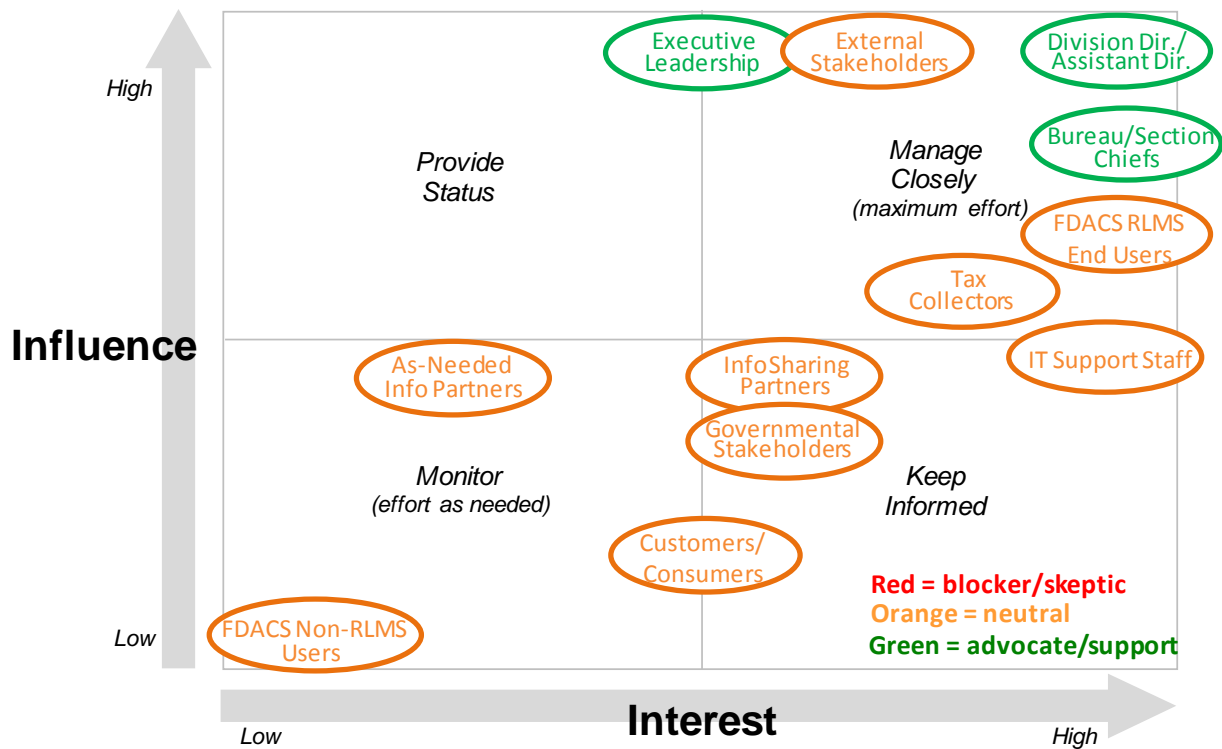
The RLMS Stakeholder Influence and Interest Grid is a tool that can be used to visually represent the level of OCM involvement required from the project team(s) for each stakeholder group. The use of this grid should be managed carefully as confidentiality may be, or become, a sensitive issue for RLMS implementation. It is also to be noted that the current mapping represents the results of the stakeholder analysis performed to date and that placement on this grid is expected to change as OCM activities inevitably affect a stakeholder group.





The purpose of the schematic is to guide the project team(s) in applying effort and resources to ensure the RLMS change journey is properly supported and executed. Specifically, the mapping of stakeholders to the grid quadrants organizes stakeholder groups by:

<b>MONITOR – LOW INFLUENCE, LOW INTEREST</b>
Stakeholders to observe, track and check in with periodically to confirm that their overall level of engagement with project progress has not been elevated on one or both influence/interest dimensions
<b>KEEP INFORMED – LOW INFLUENCE, HIGH INTEREST</b>
Stakeholders who do not materially affect project implementation but who are part of interest groups who are affected by the changes and project outcomes
<b>PROVIDE STATUS – HIGH INFLUENCE, LOW INTEREST</b>
Stakeholders who are, typically, sponsors for the changes to be implemented and who have the ability to serve as difference-makers throughout the RLMS project
<b>MANAGE CLOSELY – HIGH INFLUENCE, HIGH INTEREST</b>
Stakeholders who are significantly affected by the changes – often on key dimensions (the way work is supervised and executed; the format of interaction with the department; the degree of change to daily interfaces and operations)



**Exhibit 8: RLMS Stakeholder Influence and Interest Grid**



FDACS Governance is not separately represented above as its members are individually represented in other stakeholder groups.

Stakeholder groups are additionally labeled in three color-coded Level of Support assessment categories:

**Red** – Stakeholders who might be critical of the RLMS effort or some of its deployment components. Currently none identified in this category.

**Orange** – Stakeholders who might be currently indifferent and / or have not been identified to have defined positions regarding the RLMS implementation. This is sometimes a function of the stage of implementation and the level of exposure to and knowledge about the RLMS project that a particular stakeholder group may have.

**Green** – Typically stakeholders who are well informed about the RLMS project (it goals, scope, transformative effects, etc.) and who actively support and advocate for its successful deployment.

The Level of Support dimension is important for further defining and prioritizing stakeholder group-specific OCM approaches. The importance of this assessment is detailed in Section 4 which leverages the analysis above, along with the information gathered through Information Requests, to develop the Findings / Observations and Recommendations (Section 6) and the OCM Approach / Plan (Section 5).





The information request was not formally distributed to DOL, DOA and AgLaw because extensive information had already been made available to the project team. The project team has summarized and reflected information for DOL, DOA and AgLaw in the Consolidated Responses tab of [Attachment II: OCM Information Request and Assessment](#).

#### 4.1 SUMMARY OF THE OCM INFORMATION REQUEST

The overarching goal of the OCM Information Request was two-fold: (1) to assess the current overall level of knowledge, and understanding of, the RLMS project across the organization; and, (2) to develop an accurate baseline of OCM and communication needs and priorities going forward.

Additionally, there are five specific goals and a point of governance for the set of questions North Highland developed as part of the Information Requests:

1. Cross check the list of functions that are **impacted** by RLMS with the organization’s current perceptions of the impact.
2. Gather **work location** information of affected resources as it influences OCM and training approaches.
3. Understand how **communication** across the department within divisions and bureaus currently takes place, especially for geographically distributed teams.
4. Catalog what formats and approaches are available and currently adopted for **training**.
5. Document **changes**, technical or organizational, already taking place across RLMS-affected divisions.

From an OCM governance perspective, we also asked respondents to identify a single point of contact at each division to serve as a Change Champion during the RLMS project. The role of Change Champions is discussed in detail in Section 5.

QUESTIONS	PURPOSE
1. Does this bureau conduct <b>regulatory</b> - Application, Licensure, Compliance, Inspections, or Enforcement - <b>activities</b> (or activities similar to these)?	To validate and cross check which divisions, offices and bureaus are in scope for the RLMS project (alongside the Workforce Transition Information Request)
2. How will this bureau be <b>impacted</b> if its employees will be required to do all their regulatory work in a new, supporting IT / computer system?	To get an initial self-assessment from divisional leadership on the implementation of RLMS
3. Where are your <b>staff physically located</b> ? <i>(If a sufficient description is not in the list, please provide a short answer.)</i>	The physical location of staff is important to consider for the mechanisms of communication, training and change management



QUESTIONS	PURPOSE
<p>4. If your division is distributed across the state, please give the <b>number of sites</b>. <i>(If a sufficient description is not in the list, please provide a short answer.)</i></p>	<p>The number of sites is important to consider for the logistics of communications, training and other OCM activities</p>
<p>5. How are daily <b>routine issues communicated</b> to staff? (If a sufficient description is not in the list, please provide a short answer.) - <i>Select all that apply</i></p>	<p>It is important to understand how regular, operational communication works within each division and bureau</p>
<p>6. How are large, major <b>changes communicated</b> to staff? (If a sufficient description is not in the list, please provide a short answer.) - <i>Select all that apply</i></p>	<p>RLMS is going to be a significant change for many staff and ensuring the communication mechanisms are aligned is important for effective communication</p>
<p>7. How is <b>technology system training</b> currently provided in your division? (If a sufficient description is not in the list, or you have a training preference, please provide a short answer.) - <i>Select all that apply</i></p>	<p>To capture information across the department to ensure that effective training approach and plans are developed</p>
<p>8. Are there any <b>major changes</b> to your division anticipated in the next two years? For example, the replacement of new IT system or an anticipated staff reorganization <i>(If Yes, please provide a short description)</i></p>	<p>To capture information about other technology, process and organizational changes that may impact staff</p>
<p>9. Please name a <b>point of contact</b> to represent your division on the RLMS Project over the next 12-24 months. This person would help North Highland gather information and would be the receiver of information from the project. As time progresses, this person would be the key contact for distributing information about RLMS to staff. If no contact is named, North Highland will work with the Assistant Division Director for these purposes</p>	<p>The goal is to create a network of Change Champions from each of the divisions to work as a team throughout the RLMS DDI phase and beyond</p>

### Exhibit 10: OCM Information Request

Below are quantitative and qualitative results from the responses by theme of content. The summary of results is found in [Attachment II: OCM Information Request and Assessment](#). It should be noted that there were 33 impacted bureaus (and other work units) identified across the 14 divisions and offices, reflected in the Exhibits below.



#### 4.1.1 RLMS IMPACT INFORMATION RESULTS

QUESTIONS	RESPONSE OPTIONS	NUMBER OF RESPONSES
1. Does this bureau conduct <b>regulatory</b> - Application, Licensure, Compliance, Inspections, or Enforcement - <b>activities</b> (or activities similar to these)?	Yes <i>(Please answer questions 2-9)</i>	33
	No <i>(Please skip questions 2-9)</i>	12
2. How will this bureau be <b>impacted</b> if its employees will be required to do all their regulatory work in a new, supporting IT / computer system?	No Impact	0
	Minimally Impacted	0
	Moderately Impacted	10
	Significantly Impacted	13
	Unknown	10

#### Exhibit 11: OCM Information Request – RLMS Impact

- Of the 33 divisions conducting regulatory lifecycle activities, 23 reported expecting being “Moderately Impacted” or “Significantly Impacted” by RLMS.
- People across the organization appear to be **aware** that the impact of the RLMS implementation is material to regulatory lifecycle work processes and zero respondents reported “No Impact” or “Minimally Impacted”.
- From an OCM perspective, there is also a manifested significant need to **inform** some divisions, and further frame expectations about, the level of impact of RLMS. The 10 “Unknown” responses in Question 2 are concentrated in four divisions.

#### 4.1.2 WORK LOCATION INFORMATION RESULTS

QUESTIONS	RESPONSE OPTIONS	NUMBER OF RESPONSES
3. Where are your <b>staff physically located</b> ? <i>(If a sufficient description is not in the list, please provide a short answer.)</i>	Tallahassee - all in one building	9
	Tallahassee - in multiple buildings	1
	Tallahassee and distributed state-wide offices	20
	Short Answer	
4. If your division is distributed across the state, please give the <b>number of sites</b> . <i>(If a sufficient description is not in the list, please provide a short answer.)</i>	Tallahassee and fewer than 10 state-wide locations	13
	Tallahassee and between 10 and 15 state-wide locations	5
	Tallahassee and greater than 15 state-wide locations	3
	Short Answer	

#### Exhibit 12: OCM Information Request – Work Location

- Resources performing regulatory lifecycles roles are **distributed** across the state with a concentration of staff headquartered in Tallahassee, Bartow (F&V) and Gainesville (Division of Plant Industry).



- **Most divisions** have fewer than 10 offices / regional spread of resources.
- Divisions with resources **concentrated** in Tallahassee have the ability to bring everyone together for face-to-face communication and provide access to leadership.
- Divisions with more than 15 offices state-wide include resources **working remotely from home offices**.

#### 4.1.3 COMMUNICATION MECHANISMS INFORMATION RESULTS

The focus of the questions about different communication formats is to capture how communication preferences manifest primarily within divisions.

	ROUTINE ISSUES	MAJOR CHANGES		ROUTINE ISSUES	MAJOR CHANGES
Email to all	26	22	Electronically	38%	28%
Email to affected parties only	32	19			
Intranet posting	10	3			
Telephone conversation	32	15	Individual contact	33%	19%
Personal conversation	26	15			
Conference room meeting with Supervisors; then supervisors distribute the information	19	26	Meeting	29%	53%
Bureau meeting	24	31			
Division meeting	8	27			

#### Exhibit 13: OCM Information Request – Communication Mechanisms

- **Individual contact** encompasses personal and telephone conversations.
- There is a consistent approach to communication **formats** within individual divisions.
- Across the department, **multiple** communication mechanisms are generally used to communicate change.
- More **routine** communication (about daily operational issues) is generally shared at the bureau level.
- **Major** communication (typically strategic in nature) is shared at both bureau and division meetings for a majority of respondents.
- Through interactions with **field** resources at a DOL regional office, we were able to glean perspectives about communication (quality, timeliness, and format). Field resources expressed that:
  - Communication is not always clear
  - RLMS was not yet generally (or sufficiently) communicated
- Field resources appreciate **video** conferencing (available at regional offices), simple subject emails, calls from bureau chiefs, and regular and in-person regional meetings.



#### 4.1.4 TRAINING FORMAT INFORMATION RESULTS

QUESTIONS	RESPONSE OPTIONS	NUMBER OF RESPONSES
7. How is <b>technology system training</b> currently provided in your division? (If a sufficient description is not in the list, or you have a training preference, please provide a short answer.) - <i>Select all that apply</i>	Via centralized Train-the-Trainer and then distributed Site-based classroom training	7
	Via Tallahassee-based classroom Training only	4
	Via local site-based classroom Training only	7
	Via Computer-based Training	7
	Via Teleconference	9
	Via on the job training	25
	Short Answer	

#### Exhibit 14: OCM Information Request – Training Formats

- In the majority of cases, respondents were using more than one **format** for training.
- When technology training was reported, **on-the-job** training is consistently used across the department as one of the training mechanisms.
- **Computer-based** training was reported in three divisions.
- **Train-the-trainer** in one division.
- **Field** office training needs, for extensive needs especially (such as deployment of new systems), are served by either traveling to headquarters or having trainers visit the offices.

#### 4.1.5 UPCOMING MAJOR CHANGES INFORMATION RESULTS

QUESTIONS	RESPONSE OPTIONS	NUMBER OF RESPONSES
8. Are there any <b>major changes</b> to your division anticipated in the next two years? For example, the replacement of new IT system or an anticipated staff reorganization (If Yes, please provide a short description)	Yes	17
	No	12
	Short Description	

#### Exhibit 15: OCM Information Request – Upcoming Major Changes

- Some bureaus / offices reported being **aware** of organizational and / or system changes (in addition to the RLMS project). Specifics are captured in the Short Descriptions responses for Question 8 found in [Attachment II: OCM Information Request and Assessment](#).
- Nine bureaus across five divisions reported undertaking major **system** changes.
- A number of bureaus are reporting currently going through, or expecting, **staff reorganizations**.





**Question 9** of the OCM Information Request is about identifying and appointing Change Champions to facilitate the change journey across the organization. Change Champions are discussed in Section 5.

## 4.2 STAKEHOLDER ANTICIPATED REACTION TO CHANGE

Resistance to change is natural and expected during any type of transformation. Individuals and organizations affected by change typically assess the change strategically and logically by achieving understanding of:

- What are we doing and why?
- How does the change relate to our strategy? Why will we be more efficient? Does the change make sense?
- Is management really committed?
- What is the change plan? Is it doable?
- Is it being done fairly?

An important element to understanding change readiness in an organization is cataloging current perceptions, both positive and negative, and recognizing gaps to achieving the desired level of stakeholder commitment and engagement necessary from each stakeholder group to support the transformation through successful completion.

This section measures the stakeholder groups' anticipated reaction to change and identifies gaps between the current and desired levels of support.

Naturally, perceptions and gaps are affected by, and shift during, the execution of the project as information becomes accessible, as stakeholders gain further exposure to the project, and as they are affected by change management efforts. The data presented below is based on interviews, observations, meetings, and conversations with FDACS staff, as well as best practices and lessons learned from North Highland's experience with OCM efforts of similar scope and complexity.

---

### POTENTIAL POSITIVE PERCEPTIONS (ENABLERS)

---

List of perceived potential benefits of the change to the specific audience group (what will motivate them to want to accept the change)

---

### POTENTIAL NEGATIVE PERCEPTIONS (BARRIERS)

---

List of perceived potential disadvantages of the change to the specific audience group (why they may resist change)

---

### SUPPORT LEVEL: CURRENT

---



Level of support for the change currently demonstrated by the stakeholder:

- Unaware
- Not Supportive
- Neutral
- Slightly Supportive
- Moderately Supportive
- Fully Supportive
- Unknown

**SUPPORT LEVEL: DESIRED**

Level of commitment required by the stakeholder for change to be successfully implemented:

- Aware of the Change
- Understand the Change
- Accept the Change
- Committed to the Change
- Champion

**Exhibit 16: RLMS OCM Assessment Legend**

The Exhibit below is an extract from Tab 2 of the [Attachment I: Stakeholder Analysis Matrix](#).

Anticipated Reaction to Change		Support Level	
Potential Positive Perceptions (Enablers)	Potential Negative Perceptions (Barriers)	Current	Desired
<b>1. Executive Leadership</b>			
System will create process standardization, promote economies of scale, and provide comprehensive, consistent, accurate information and improved customer service. The system will streamline the Department's functions and provide a foundation to consolidate similar Department-wide services. System will enhance Department programs that add to the quality of life for Florida citizens and support agricultural industries. The system will improve transparency, reporting, performance measurement	May resist the project if it begins to, or is perceived to, negatively impact stakeholders, or deviates from schedule, scope or budget	Fully Supportive	Champion
<b>2. Division Directors / Office Directors / Assistant Directors</b>			



Anticipated Reaction to Change		Support Level	
Potential Positive Perceptions (Enablers)	Potential Negative Perceptions (Barriers)	Current	Desired
System will create process standardization, promote economies of scale, and provide comprehensive, consistent, accurate information and improved customer service. The system will streamline the Department's functions and provide a foundation to consolidate similar Department-wide services. System will enhance Department programs that add to the quality of life for Florida citizens and support agricultural industries. The system will improve transparency, reporting, performance measurement	May resist the project if it begins to, or is perceived to, negatively impact stakeholders, or deviates from schedule, scope or budget	Fully Supportive	Champion
<b>3. Bureau Chiefs / Section Chiefs</b>			
Recognizes the power the new system brings to managing workload, customer wait times, and reporting. Will see higher quality in processing, data exchanges, and policy enforcement. Will see improved employee and customer satisfaction	Will resist the system if perceived it will negatively impact employees, customers or the Bureau Chief's own performance. They may struggle as they learn to produce information and reports and may resort to pre-deployment ways of managing if not strongly supported during the change	Neutral	Committed to the Change
<b>4. FDACS Staff RLMS End Users (including first level supervisors, who are not section chiefs)</b>			
Streamlined, automated workflow. Fewer manual and tedious processes; faster processing, greater accuracy, improved performance, improved data availability; more efficient regulatory, inspection, and enforcement processing; improved customer satisfaction	Many have become successful in their jobs by incrementally doing things better over years. Much of this will be challenged by using the new system. They may have a tendency to be critical of the new systems if the expected dip in productivity and discomfort of doing work in new ways is not acknowledged and mitigated	Unaware	Accept the Change
<b>5. Tax Collectors</b>			



Anticipated Reaction to Change		Support Level	
Potential Positive Perceptions (Enablers)	Potential Negative Perceptions (Barriers)	Current	Desired
This group of stakeholders should have the same positive perceptions as other FDACS RLMS End Users. Tax collectors' offices will play an enhanced role in the future state by offering a wider range of application intake services (e.g., fingerprint and photograph completion processing). A statutory change will be required to allow these offices to offer these services. It is anticipated that tax collectors will welcome this enhanced role for two reasons: (1) they will be able to continue to offer services necessary to obtain a concealed weapon license at a conveniently located local office; (2) the services they offer to their constituents will provide the tax collectors with an ongoing revenue stream	May like the CWIS better than RLMS. May perceive RLMS as too complex if CWIS is currently meeting their needs. RLMS may be harder to use or require more extensive training than CWIS	Unaware	Committed to the Change
<b>6. IT Support Staff (Regulatory Application Support &amp; Other Roles)</b>			
Ability to provide a system that meets user needs, easier to maintain and enhance, reduce numbers of calls to the IT service desk, fewer issues to maintain from a database and infrastructure perspective	New technology that they are not familiar with, other changes due to the required changes to the IT Operating Model	Neutral	Accept the Change
<b>7. FDACS Staff (Non-RLMS Users)</b>			
If made aware, this group can feel positive about overall improved customer service and being part of an organization acting as a good steward of the tax payer's money	May resist the project if it begins to, or is perceived to, negatively impact stakeholders, or deviates from schedule, scope or budget	Unaware	Aware of the Change
<b>8. FDACS Governance</b>			
Promise of the benefits described in the Agency's funding request; hopes to see IT issues easier to management and prioritize after RLMS implementation	May resist the project if it begins to, or is perceived to, negatively impact stakeholders, or deviates from schedule, scope or budget	Fully Supportive	Champion
<b>9. External Stakeholders</b>			



Anticipated Reaction to Change		Support Level	
Potential Positive Perceptions (Enablers)	Potential Negative Perceptions (Barriers)	Current	Desired
Sees the promise of improved customer interaction with the Department and faster approval of applications. In some cases, may see improved processes/interfaces for their organization's application or data submission to the Department. May see improved data transfers	Will resist the new system if the design in any way compromises confidentiality or impedes permitting processes. Stakeholders may resist consolidation in favor of local or segmented control	Slightly Supportive	Committed to the Change
<b>10. Information Sharing Partners</b>			
Creation of efficient electronic interfaces that will improve quality of data transfers and may potentially reduce workload for these entities	Will resist the new system if interfaces and go-live dates are not coordinated properly with these partners. May resist the work and effort required to develop their interfaces due to competing priorities and limited budget. May see no benefit to their organization by being asked to automate or change their existing interface or touch point	Unaware	Accept the Change
<b>11. As-Needed Information Partners</b>			
Improved data sharing	None	Unaware	Aware of the Change
<b>12. Governmental Stakeholders</b>			
Promise of the benefits described in the agency's funding request	Will begin to resist the project or deny funding releases if the project faces political opposition from constituents or if the project begins to exceed schedule, scope or budget	Slightly Supportive	Accept the Change
<b>13. Customers, License and Permit Holders, Applicants, Consumers, General Public</b>			
Faster processing time; less remediation of submitted documentation; enhanced availability and quality of information provided by FDACS. Over time RLMS may make holding multiple licenses with the State of Florida an easier undertaking. Online processing will be welcomed by many	Customers may want continued availability of paper applications, may perceive online application as a barrier. Consumers may resist creating an account to interact with the Department. Consumers will be vocal detractors from the success of the system if interfaces are not designed well or are seen as an obstacle to application or renewal. Customers will ultimately judge how well the system meets their needs and will be vocal detractors from the project success if the system fails to deploy properly or if expectations have not been managed	Unaware	Accept the Change

**Exhibit 17: RLMS Anticipated Stakeholder Reaction to Change and Support Level**



Section 6 Findings / Observations and Recommendations puts forth specific actions for guiding stakeholders towards the desired level of support. FDACS and the RLMS project teams will customize OCM activities for each stakeholder group, as needed, and will focus on moving the stakeholder group from their current state to the desired state.

### 4.3 OCM VISION AND STRATEGY

The fundamentals of the RLMS OCM Vision and Strategy supporting it (Exhibit below) are based on knowing there are three phases framing OCM activities to facilitate the change journey from Awareness to Ownership: Phase 1 – Preparing for Change, Phase 2 – Managing Change and Phase 3 – Reinforcing Change. These sequential phases are reflective of best practices in managing change (based on the Prosci® research, methodology and language) and their application to the project is further discussed in Section 5: OCM Approach / Plan.



### Exhibit 18: RLMS OCM Vision and Strategy

In the context of this framework and its guidelines, North Highland formulated the following insights from the discovery and information gathering processes to help guide the organization with its OCM efforts.



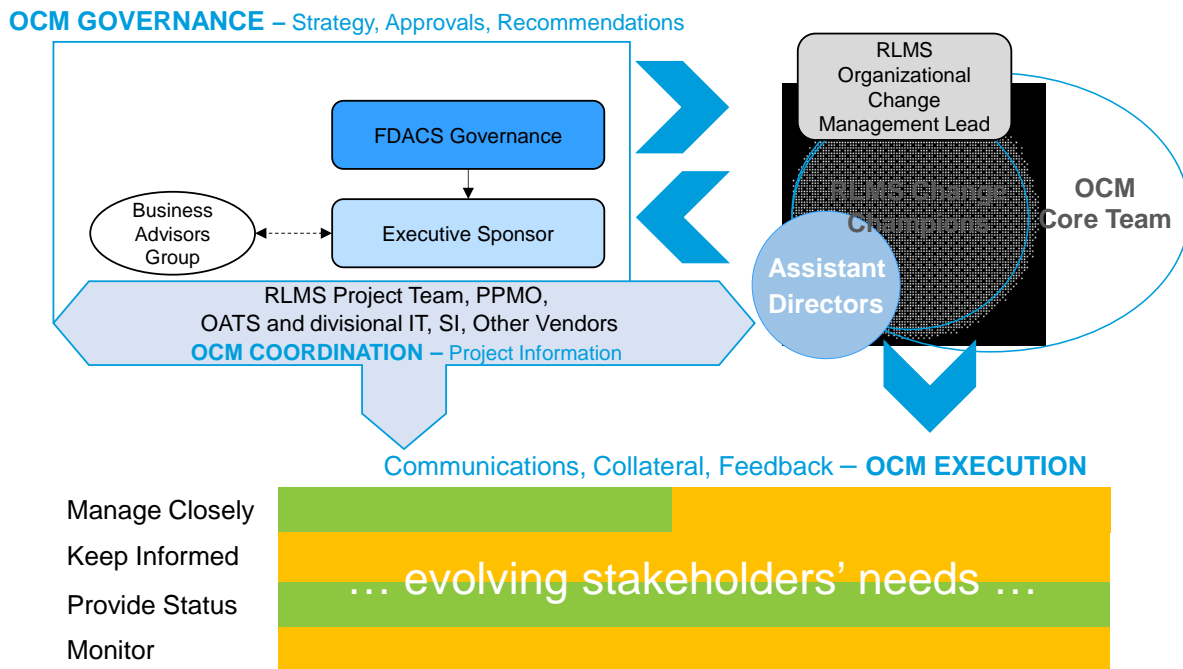
## SECTION 5 OCM APPROACH / PLAN

The OCM Approach / Plan is driven by three key inputs described in the sections below:

1. **How** do individuals and teams involved in, and responsible for, OCM and Communication activities interact over time
2. **When** are changes taking place, and how do OCM and communication activities need to align
3. **Who** plays a role (both relevant individuals and teams) in guiding the OCM and communication activities and journey

### 5.1 RLMS OCM FUNCTIONAL MODEL

To guide and execute OCM efforts, North Highland, reflecting the understanding of FDACS and the goals set by its leadership, designed a structured engagement model focused on serving the needs of stakeholders (Exhibit below).



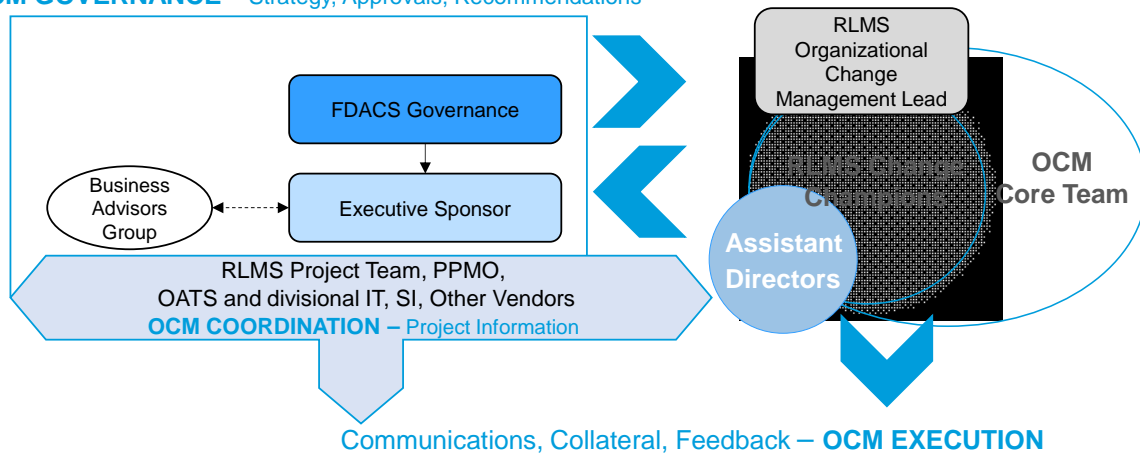
**Exhibit 19: RLMS OCM Functional Model**

The relevance of the model hinges on:



- Ensuring **engagement and participation** throughout the department from the beginning of the project lifecycle which, research shows, is a critical success factor for successful programmatic change.
- Providing **direction and coordination** for key change-related roles and the ability to learn from the experts (the employees) on the needs of each impacted division.
- The recognition that “**all change is local**” and embraced at an individual level through the ability to leverage FDACS resources in each regulatory program area to achieve the change goals in the way that is best for their area.
- FDACS’ commitment to choosing and empowering an **internal change leader** role (RLMS OCM Lead) because successful transformation cannot be accomplished solely by third parties.
- The recognition that FDACS is **embarking on an ongoing conversation** with stakeholder groups to be executed through the Communication Plan and monitored and tracked with the Change Readiness Assessment Plan (forthcoming Deliverable D4D-E).

**OCM GOVERNANCE – Strategy, Approvals, Recommendations**



Manage Closely  
Keep Informed  
Provide Status  
Monitor



**Exhibit 19: RLMS OCM Functional Model**





**OCM GOVERNANCE: STRATEGY, APPROVALS, RECOMMENDATIONS**

FDACS Project Oversight	The governance over the RLMS project: The Executive Steering Committee, the Executive Sponsor, and the Business Advisory Group
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**OCM COORDINATION: PROJECT INFORMATION**

FDACS Project Administration	The execution and implementation of the RLMS project: The RLMS Project Team, PPMO, the System Integrator, and other vendors
------------------------------	---

**OCM EXECUTION: COMMUNICATIONS, COLLATERAL, FEEDBACK**

RLMS OCM Lead	An FDACS individual to function as the focal point for organizational transformation
OCM Core Team	The group of individuals charged with the ownership and execution of OCM and Communication activities including: The RLMS Workforce Transition and OCM workstreams leads; FDACS Internal Communications; the RLMS Change Champions; and Assistant Directors
RLMS Change Champions	A named individual who represents an area or group of people for purposes of providing OCM activities. The appointed individuals, on behalf of a stakeholder group, serve as a channel for OCM and Communication activities
Assistant Directors	Same individuals as RLMS Change Champions in some cases, or other individuals who can be primarily accountable to management for understanding and reporting on the business implications of the change impact

**Exhibit 20: RLMS OCM Functional Model – OCM Teams**

The dynamics of the RLMS OCM Functional Model include taking into account the level of support needed from each stakeholder group (through updates to the RLMS Stakeholder Influence and Interest Grid) and customizing communications and change management approaches to meet the needs of each stakeholder group to achieve successful RLMS deployment.

The RLMS OCM Functional Model depicts and explains the dynamic interactions of these teams in the execution of OCM activities. Further description of the role and responsibilities of OCM-relevant teams, and how these teams play a role in OCM implementation, is described below.

**OCM Execution** entails the development and delivery of deliberate stakeholder communications, related collateral and capturing feedback information to deliver OCM activities in accordance with the OCM Approach / Plan.

The majority of RLMS OCM and Communication activities (OCM Execution) will be led by the RLMS OCM Lead and delivered by RLMS Change Champions (identified by divisional leadership) – in conjunction with the OCM Core Team:



- The **RLMS FDACS OCM Lead**, the focal point for change management, ideally is a department resource, selected and empowered by leadership based on the following guidelines:
  - › Currently at a leadership level.
  - › Has or will have access to FDACS’ leadership across divisions.
  - › From a function that is materially aligned with the core regulatory services of FDACS.
  - › Able to comfortably and competently communicate with IT and other expert-driven functional leadership.
  - › Has clarity for their career path post-RLMS implementation.
  - › Is a natural communicator.
  - › A champion of OCM principles and practices who is firmly committed to spending a considerable amount of time and effort performing functions of the role (during the height of OCM Execution and Workforce Transition activities this could be a full-time commitment for an extended period).
  
- The **OCM Core Team** is composed of OCM practitioners (either internal or external, who are also members of the RLMS Project Team), RLMS Change Champions, and department Assistant Directors (often serving as RLMS Change Champions) from bureaus, divisions and offices impacted by the RLMS implementation. The OCM Core Team will partner with, and leverages as appropriate, the department’s internal communications capabilities.
  
- **RLMS Change Champions** are appointed individuals, on behalf of a stakeholder group, who represent a division, bureau, office or group of people and who serve as a channel for OCM and communication activities.

**OCM Governance:** The Enterprise Project Management Plan (PMP) identifies governance roles at the early stage of the RLMS project. The following Exhibit is an OCM-relevant extract from this list and is a description of the roles and responsibilities of top project governance roles – with indicative reference to change management and communication-related tasks (text in **bold**, where applicable).

ROLE NAME	DESCRIPTION
Executive Steering Committee (FDACS Governance)	<ul style="list-style-type: none"> <li>▪ <b>Provides executive oversight to the RLMS project</b></li> <li>▪ <b>Establishes and supports the project vision and strategic direction</b></li> <li>▪ <b>Resolves escalated issues</b></li> <li>▪ Final decision on scope and cost changes</li> </ul>
Executive Sponsor (CIO)	<ul style="list-style-type: none"> <li>▪ <b>Coordinates / identifies business resources</b></li> <li>▪ Controls project budget</li> <li>▪ Serves as liaison to the Agency of State Technology (AST)</li> <li>▪ Has programmatic decision making authority</li> <li>▪ <b>Champions the project</b></li> <li>▪ <b>Provides business resources for project success</b></li> <li>▪ Has programmatic responsibility for successful development and implementation of the project</li> <li>▪ Has IT decision-making authority</li> </ul>



ROLE NAME	DESCRIPTION
	<ul style="list-style-type: none"> <li>▪ Provides IT resources for project success</li> <li>▪ <b>Has responsibility for successful development and implementation of the project</b></li> <li>▪ <b>Facilitates communication with the executive management team</b></li> </ul>
Business Advisors Group	<ul style="list-style-type: none"> <li>▪ Responsible for input on functional requirements</li> <li>▪ Participates in project user group meetings and sessions</li> <li>▪ Provides input on project activities</li> <li>▪ Reviews and comments on project documents and deliverables</li> <li>▪ <b>Disseminates project information and updates to local internal / external stakeholders</b></li> </ul>

**Exhibit 21: OCM Governance – OCM Strategy, Approvals, Recommendations**

From an OCM perspective, the constituents in the Exhibit above are charged with providing **Strategy, Approvals and Recommendations** (OCM Governance) inputs for change management and communication execution.

**OCM Coordination:** Project Information flows are managed by the RLMS Project Team, the Project and Portfolio Management Office (PPMO), the System Integrator and other vendors (once selected) and coordinated with the OCM Core Team.

**5.2 RLMS PROJECT TIMELINE**

The Exhibit below details the RLMS deployment timeline, which drives the OCM process phases. Common and proven effective change management processes are built around these three, general phases (which likely will need to be repeated for each release). As referenced in section 4.3, North Highland embraces and has adapted the Prosci® approach, and based on the specific understanding of the department and its needs, has developed the following OCM and Communication timeline:

- **Phase 1 - Prepare for change** (Preparation, assessment and strategy development)
- **Phase 2 - Manage change** (Detailed planning and change management implementation)
- **Phase 3 - Reinforce change** (Data gathering, corrective action and recognition)

The Exhibit below maps the three OCM Phases above to the RLMS Timeline for Release 1 and presents, in summary, key elements of each phase to frame how North Highland is applying the RLMS OCM Functional Model to help govern change management execution.

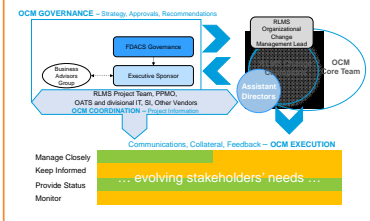


2015	2016	2017	2018					
<b>Pre-DDI</b>								
<b>8 / 2015 – 3 / 2016</b>	<b>Invitation to Negotiate</b>	<b>DDI (Release 1)</b>				<b>Go-Live DOL</b>		
<ul style="list-style-type: none"> <li>Business Process Mapping</li> <li>Business Process Re-engineering</li> <li>Organizational and Workforce Transition Planning</li> <li>Procurement Support</li> <li>Data Strategy Planning</li> <li>Portfolio &amp; Project Management Office and Governance Planning</li> </ul>	<b>7 / 2016 – 3 / 2017</b>	A	B	C	D	E	F	<b>7 / 2018 – 9 / 2018</b>
	<ul style="list-style-type: none"> <li>Release of ITN</li> <li>Receipt/ Evaluation of Responses</li> <li>Negotiation</li> <li>Award</li> </ul>	<b>4 / 2017 – 7 / 2018</b>						<ul style="list-style-type: none"> <li>Operational Support</li> <li>Issue Resolution</li> </ul>
		<ul style="list-style-type: none"> <li><b>A:</b> Plan</li> <li><b>B:</b> Requirements Validation</li> <li><b>C:</b> Configure</li> <li><b>D:</b> Testing</li> <li><b>E:</b> User Acceptance Testing</li> <li><b>F:</b> Training</li> </ul>						

Timeline is subject to change

**Stakeholder Analysis Matrix and Stakeholder Influence and Interest Grid (D4A-B-C)**

**Phase 1: Prepare for Change  
RLMS OCM Functional Model**



**OCM Communication and Assessment Plans (D4D-E)**

**Change Champions Ongoing Execution**

**Exhibit 22: RLMS Timeline for Release 1 and the OCM Phases**

**5.3 RLMS CHANGE CHAMPIONS**

*"A true champion without a cause is entrapped energy.  
A great cause without a champion is but an elusive dream.  
But a great cause with a true champion is the realization of a vision"*

Robert Porter Lynch



As mentioned above, **RLMS Change Champions** are appointed individuals, on behalf of a stakeholder group, who represent a division, office or other group of impacted people and who serve as a channel for OCM and Communication activities during the project.

The role of RLMS Change Champions is to build individual and team capacity to change. Change Champions are charged with aligning and guiding individual / stakeholder groups with the department's RLMS efforts by:

- Articulating a vision of the future state
- Articulating business and organizational implications of the future state
- Articulating personal implications of the future state
- Aligning change effort with strategic goals and objectives
- Linking change process to business goals (closing the gaps)

Criteria typically used to identify and select RLMS Change Champions are individuals who:

1. Are comfortable serving in a liaison role– and in performing as a conduit between audiences.
2. Are capable of providing specificity and relevance of representation – are part of the stakeholder group and are familiar with the work and the impact of change.
3. Have access to a wide span of responsibility – empowered and respected by the group that they represent.

It is important to further adapt and balance the guidance of these criteria to the structural opportunities and the realities of the organization. Through the OCM Information Request (Question 9), and interaction with divisional leadership, North Highland began the process of identifying a set of Change Champions. The current list of RLMS Change Champions is found in Tab 4 - RLMS Change Champions in [Attachment I: Stakeholder Analysis Matrix](#). This list is preliminary and needs both validation and completion as, in most cases, the currently identified RLMS Change Champions have not been formally charged in their role.

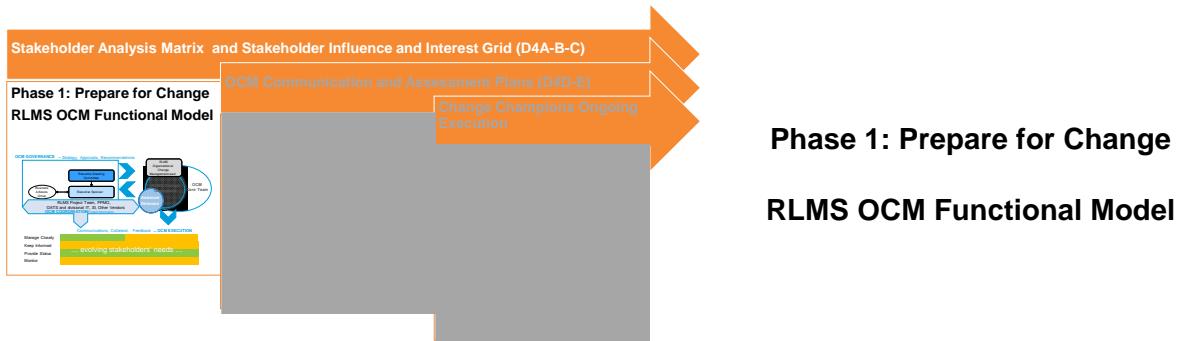
As mentioned in the Assumptions Section 2.2, if no RLMS Change Champion has been specifically named, the individual fulfilling the Assistant Director role (or equivalent) is preliminary assigned as the RLMS Change Champion for stakeholder constituencies relevant to the function.

The steps to develop and finalize a list of RLMS Change Champions, the scope of the RLMS Change Champions' charge, and the activities they will execute are explored in this section and in the forthcoming Deliverable D4D-E: Communication Plan and Change Readiness Assessment.



### 5.3.1 OCM-RELATED AND COMMUNICATION ACTIVITIES BY PHASE

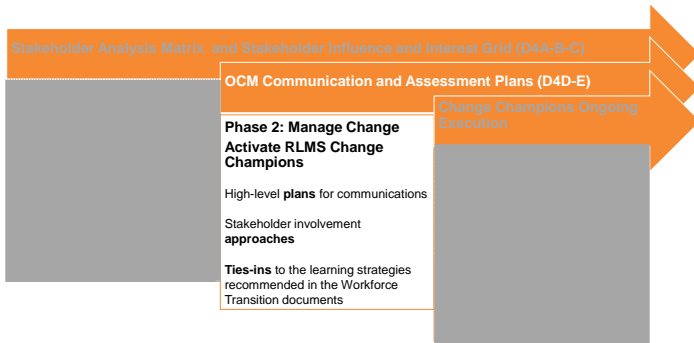
This section sets priorities for setting in place effective Change Champions for the RLMS project. For each of the OCM phases, North Highland identified 10 key activities, or areas of focus, for identifying, enabling and deploying RLMS Change Champions and OCM as described in the RLMS OCM Functional Model.



OCM PHASE 1: PREPARE FOR CHANGE - OCM ACTIVITY / AREA OF FOCUS		
	Action Item	Guidance
1	Finalize and validate the set of RLMS Change Champions and the OCM strategy	OCM Core Team in coordination with divisional leadership
2	Facilitate a meeting with RLMS Change Champions and introduce RLMS project and progress to date at a high level	Introduction of the team and charge for its purpose
3	Define the learning / training strategy for RLMS Change Champions and the OCM Team	To ensure OCM teams model a common language and that necessary lines of communication are open
4	Coordinate OCM activities with overall RLMS project workplan	To closely monitor change communication alignment with RLMS deployment steps
5	Determine metrics to capture success of the change effort	Employ a balanced scorecard approach that spans representation of results for all stakeholder groups
6	Train RLMS Change Champions on OCM principles and strategy	To develop a shared language and tools
7	Become familiar with the RLMS project work product to date – with focus on the Workforce Transition and OCM workstreams	Agree on protocols for sharing further work product information
8	Conduct a stakeholder strategies brainstorm (focusing on the Level of Support Assessment for each stakeholder group)	To allow RLMS Change Champions to inform and shape the Communication Plan
9	Introduce RLMS Change Champions and their roles to the “Strategy, Approvals, Recommendations” (OCM Governance) and “Project Information” (OCM Coordination) audiences	Launch coordination of the RLMS OCM Functional Model teams
10	Gain approval for proposed stakeholder strategies and definition of success	From the OCM Governance Team



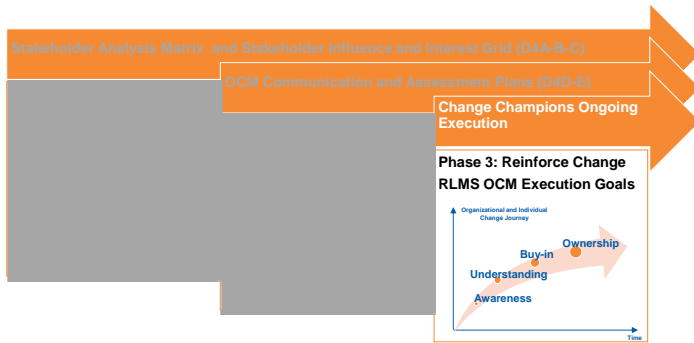
### Exhibit 23: OCM Phase 1 – Activities and Areas of Focus



## Phase 2: Manage Change Activate RLMS Change Champions

PHASE 2: MANAGE CHANGE - OCM ACTIVITY / AREA OF FOCUS		
	Action Item	Guidance
1	Conduct a high-level communication audit and validate preferred communication channels by stakeholder group	From information captured in the OCM Information Request (in this deliverable)
2	Develop an overall communication strategy for each phase of the change process	<ul style="list-style-type: none"> <li>Based on the content and guidelines found in the Communication Plan and the Change Readiness Assessment Plan (D4D-E) deliverables</li> </ul>
3	Design detailed components of the Communication Plan for each phase of the change process	To include objectives, messages, sender(s), mediums, frequency, and specific mechanisms to capture and share feedback
4	Detail tools, channels, support and tactics needed to implement the communication strategy	What needs to be done by who, when
5	Develop a detailed timeline for communication activities	Share widely to manage expectations and model the spirit of open communication
6	For the areas of the organization with other change efforts underway, define overarching change architecture and conceptually integrate initiatives	To minimize stakeholder audience confusion and manage overlapping change demands
7	Develop a strategy to cascade the change process across the department	Protocols and responsibilities for, and levels of, communication
8	Determine leadership roles and support required to reinforce the change process	For each division, office, or bureau as needed, based on the level of impact of the RLMS project
9	Align communication activities with updated project deployment activities	Ongoing coordination with the RLMS Project Team is required
10	Gain approval from the OCM Governance Team for proposed communication approaches and detailed plan	For Phase 3 execution

### Exhibit 24: OCM Phase 2 – Activities and Areas of Focus



**Phase 3: Reinforce Change  
RLMS OCM Execution Goals**

PHASE 3: REINFORCE CHANGE OCM ACTIVITY / AREA OF FOCUS		
	Action Item	Guidance
1	Execute the strategy to cascade the change process	Ongoing throughout the life of the RLMS project
2	Provide design input on materials for, and attend, training sessions and activities	Coordination with the Workforce Transition workstream and Training and Development
3	Capture and articulate any business and organizational implications of journey towards the future state	Report to the OCM Governance team
4	Monitor any situational factors impacting the change progress for RLMS	Adjust OCM activities and manage risks accordingly
5	Gain feedback from Workforce Transition workstream and division management about roles transition and training effectiveness	To develop any necessary OCM support
6	Design ongoing events to reinforce and sustain the desired behavioral changes	As needed
7	Provide individual support and feedback to leadership team members	As needed
8	Assess effectiveness of communication strategy on a regular basis	Develop any communication strategy re-direct as needed
9	Report, on a regular basis, change progress to the Governance team	To gain input, direction and approval for OCM activities changes
10	Conduct recognition programs and events to celebrate success stories	To foster organizational momentum

**Exhibit 25: OCM Phase 3 – Activities and Areas of Focus**

As the department moves forward with RLMS implementation, these 10-point key activities / areas of focus for each OCM phase serve as the launching platform and guidelines for OCM activities, establish protocols for RLMS Change Champions engagement, and shape the development of the forthcoming Communication Plan and Change Readiness Assessment Plan (Deliverable D4D-E) that drive change execution.





## SECTION 6 FINDINGS / OBSERVATIONS AND RECOMMENDATIONS

The Findings / Observations and related Recommendations below are insights from the OCM Assessment activities documented above and are the platform for the development of three guiding documents:

1. The OCM Approach / Plan (detailed in Section 5) is about communication needs, identifying a change approach, and establishing a governance structure for the change journey.
  2. The forthcoming Deliverable D4D-E - Communication Plan and Change Readiness Assessment Plan which will: (1) address practical project communication activities through the procurement phase and sets a strategy for the future DDI phases; and, (2) enable the effective measurement and monitoring of how the organization as a whole is perceiving the RLMS deployment with a focus on capturing the current mindsets of employees and their readiness for the implementation of the system.
  3. The forthcoming Deliverable D5B-C - Workforce Training Plan and Workforce Knowledge, Skills, and Abilities Transition Plan will reflect OCM and communication implications from this document regarding internal stakeholders' support for training and transitioning approaches and activities.
- The Exhibit below presents key, strategic findings and related recommendations organized along three themes:
    1. **Closing the Gaps** – which focuses on actionable items for management consideration about OCM and communication activities needs currently manifested and not being met.
    2. **Managing Change Readiness** – which centers on effective deployment, and support of, RLMS Change Champions.
    3. **Communication Focus** – which presents insights on proposed strategic direction for the format and the content of communication (messaging).
    4. [Attachment IV: Draft Findings / Observation and Recommendations](#) contains additional and more extensive raw data collected and prioritized to develop the Recommendations in the Exhibit below.

KEY FINDINGS / OBSERVATIONS	RECOMMENDATIONS
<b>CLOSING THE GAPS</b>	



KEY FINDINGS / OBSERVATIONS	RECOMMENDATIONS
<p><b>Communication is lagging and limited:</b> Division representatives are not aware of the timing of changes and what is known about RLMS throughout the organization is inconsistent. The organization is “filling the void” – rumors and questions have surfaced about “losing jobs”</p>	<p>Communication needs to <b>begin</b> now. Such communication should be honest and specific in articulating and disseminating expected affects and changes to roles and responsibilities</p> <p>Accelerate the development of an <b>RLMS release schedule</b> and leverage as communication. Define criteria to prioritize divisions for subsequent releases. Leverage the release schedule as communication material</p>
<p><b>Focus on the distinctive needs of the IT function:</b> The department’s IT resources are aware that the current IT operating model and their roles and activities are significantly impacted by RLMS and do not have sufficient information</p>	<p>Recognize that impacted IT resources are a <b>critical stakeholder</b> for the success of RLMS implementation and plan for a more intensive and specific communication effort for IT resources (in OATS and divisions)</p> <p>Identify an <b>OATS RLMS Change Champion</b></p>
<p><b>Link consolidation with training:</b> Consolidation is a possible outcome for some processes (mailroom and revenue processing in particular) and availability of training is important for successful adaptation to changing roles</p>	<p>Establish prompt OCM communication to learn from their transition experience for ongoing communication and training activities</p> <p>OCM can be leveraged as a channel for alignment with <b>training delivery</b> (forthcoming Deliverable D5B-C - Workforce Training Plan and Workforce Knowledge, Skills, and Abilities Transition Plan)</p>
<p><b>MANAGING CHANGE READINESS</b></p>	
<p><b>RLMS Change Champions are needed:</b> Division representatives don’t know when they will be affected by changes. Some may seek opportunities to opt out; others may lose interest</p>	<p>Quickly develop a network of <b>RLMS Change Champions</b>, establish a meeting schedule, and provide them with meaningful, timely and relevant information</p> <p>Engage the <b>Executive Sponsor</b> (see Section 5.1) with the RLMS Change Champions and their supervisors, communicate unwavering commitment to RLMS, the importance of the role and secure time to engage in OCM</p>
<p><b>FDACS will continue to make changes:</b> The “current state” is not static but <b>dynamic</b> and needs to be reassessed through the project</p>	<p>Actively <b>manage</b> the change journey through use of the Stakeholder Analysis Matrix and the Communication Plan</p>
<p><b>Leverage proven communication channels:</b> Use available communication processes, rely on supervisors to ensure messages are reaching intended audiences, and use all-employee unit meetings</p>	<p>Incorporate Communication and OCM Plans that will provide regular opportunities for <b>face-to-face</b> meetings to support impacted resources through the RLMS transition, to solicit feedback and inform change messaging and training strategies</p>
<p><b>COMMUNICATION FOCUS</b></p>	



KEY FINDINGS / OBSERVATIONS	RECOMMENDATIONS
<p><b>Level of impact (who/how) is still in the early stages of determination: More</b> will be known about how RLMS stakeholders will be affected, how to articulate unified messages who will be affected, what is changing, and when the changes will occur</p>	<p>Enhance department-wide project communications to take on <b>early</b> aspects of OCM</p> <p>Communicate unwavering commitment to RLMS and convey that RLMS is “not projected to result in loss of positions (except through natural attrition), but that capacity will be deployed to meet future need”. Start communicating options (training, role transfer, etc.)</p>
<p><b>Consumer education is critical:</b> RLMS is a significant change to the way customers currently interact with the department’s regulatory processes</p>	<p>Work closely with the department’s <b>communication functions</b> on timing and messages for consumer education. (website, social media, print media, revised consumer letters, rebranding, other)</p>
<p><b>Ongoing RLMS Change Champions know engagement and support are needed:</b> Sustained capacity to serve as RLMS Change Champions through RLMS releases is necessary for implementation success</p>	<p>RLMS Change Champions need to <b>meet and coordinate</b> at least twice prior to the end of the Pre-DDI activities and no less than monthly, beginning March 2016 to learn about their role as a RLMS Change Champion and be prepared to implement OCM activities during the DDI phase</p>



<b>COMMUNICATION FOCUS</b>	
<p><b>The RLMS project is still in the early stages of determining who will be impacted and how:</b></p> <p>Once the future state is better defined, more will be known about how RLMS stakeholders will be affected and how to articulate unified messages about who will be affected by the change, what is changing, and when the changes will occur</p>	<p>Enhance project communications to take on <b>early</b> aspects of OCM</p> <p>Develop project communications intended for a wide <b>departmental audience</b> to begin answering questions of what is changing, why, and when</p> <p>Develop key executive-level communication regarding unwavering <b>commitment</b> to making the change and clearly convey that, as stated in the Assumptions (Section 2.2), “Anticipated enhanced efficiencies and higher productivity levels achieved with the Future Operating Model for RLMS are not projected to result in loss of positions (except through natural attrition), but that capacity will be deployed to meet future need”</p> <p>Start communicating what <b>options</b> will be available to people whose roles will change (on the job training, role transfer, etc.)</p>
<p><b>Consumer education is critical to the success of the RLMS implementation</b></p>	<p>Work closely with the department’s <b>communication functions</b> on timing and messages for consumer education. (website, social media, print media, revised consumer letters, rebranding, other)</p>
<p><b>Ongoing RLMS Change Champions engagement and support are needed</b></p>	<p>RLMS Change Champions need to <b>meet and coordinate</b> at least twice prior to the end of the Pre-DDI activities</p> <p>RLMS Change Champions need to meet no less than <b>monthly</b>, beginning March 2016, through the ITN phase to learn about their role as a RLMS Change Champion and be prepared to implement OCM activities during the DDI phase</p>

**Exhibit 26: OCM Key Findings / Observations and Recommendations**



## **SECTION 7 ATTACHMENTS**

### **7.1 ATTACHMENT I: STAKEHOLDER ANALYSIS MATRIX**

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160112-DACS02-D4ABC-Attachment-I-OCM-Stakeholder-Analysis-Matrix-v100.xlsx>

### **7.2 ATTACHMENT II: OCM INFORMATION REQUEST AND ASSESSMENT**

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160112-DACS02-D4ABC-Attachment-II-OCM-Information-Request-Assessment-v100.xlsx>

### **7.3 ATTACHMENT III: FDACS ORGANIZATIONAL CHART**

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/151210-DACS02-D5A-Attachment-II-FDACS-Organization-Chart-Highlighted-v100.pdf>

### **7.4 ATTACHMENT IV: DRAFT FINDINGS / OBSERVATION AND RECOMMENDATIONS**

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160112-DACS02-D4ABC-Attachment-IV-OCM-Draft-Findings-and-Observations-v100.docx>

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**REGULATORY LIFECYCLE MANAGEMENT  
SYSTEM – PRE-DESIGN, DEVELOPMENT,  
AND IMPLEMENTATION PROJECT**

*D5D – ROLE-BASED SKILLS ASSESSMENT  
AND GAP ANALYSIS*

Date: 02/26/2016  
Version: 100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
10/22/2015	North Highland	001	Initial draft
01/05/2016	North Highland	001	Ongoing edits
01/26/2016	North Highland	002	Ongoing edits
02/16/2016	North Highland	003	Updates following NH QA
02/18/2016	FDACS	004	FDACS Review
02/25/2016	North Highland	005	Remediation following FDACS Review
02/26/2016	North Highland	100	Baseline

### Quality Review

NAME	ROLE	DATE
Jennifer Pang	North Highland QA	02/15/2016





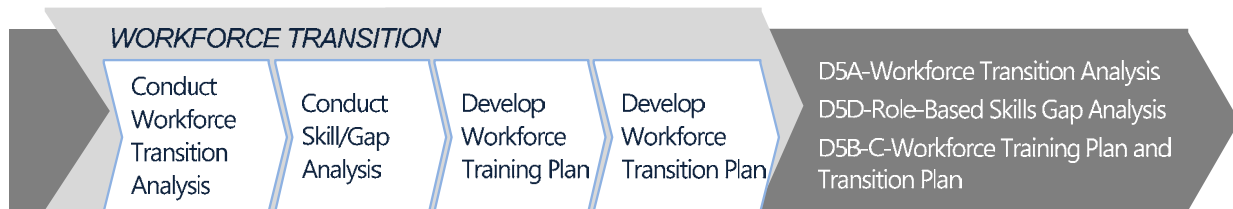
## SECTION 1 INTRODUCTION

North Highland has been asked to assess the Regulatory Lifecycle Management System (RLMS) Project Workforce Transition needs, and establish and create a strategy to facilitate change. The Role-Based Skill Assessment and Gap Analysis (Deliverable D5D), is the second of three deliverables that together address the overall organizational and workforce needs, strategies, and activities for the Florida Department of Agriculture and Consumer Services (FDACS, the department) workforce to be willing, able, and capable of moving to the new environment and using the new system to deliver better outcomes for those regulated / served by the department.

Workforce Transition encompasses the set of activities necessary for employees to successfully master the new ways of working after the RLMS is in place, including the knowledge, skills and abilities required to operate in the new environment. The new ways of working may result in changing where and how activities get completed and by whom, including workflows, approvals, and handoffs.

The exhibit below depicts North Highland’s Workforce Transition workstream and shows how related deliverables link into Role-Based Skill Assessment and Gap Analysis. Associated deliverables that are part of the workstream include:

- Workforce Transition Analysis (Deliverable D5A, available in [Attachment I: RLMS Workforce Transition Analysis](#))
- Workforce Training and Transition Plan (Deliverable D5B-C – forthcoming)



**Exhibit 1: Workforce Transition Workstream**

Additionally, the Workforce Transition workstream deliverables are also used by the North Highland team to develop the Organizational Change Management (OCM) activities; to assess how the needs of stakeholders can be addressed throughout the project; and to inform how the organization as a whole can respond to the changing environment of its workforce (Deliverables D4A-B-C and D4D-E).

### 1.1 PURPOSE

At its core, the RLMS will change the way people work to deliver activities across the regulatory lifecycle and the way this technology is supported across the department. With the anticipated improvement in system capabilities such as workflow, business rules, mobile access, and self-



service, data entry tasks will shift from FDACS staff to the customer, offering FDACS staff the opportunity to spend more time on higher-value duties, and for staff in the field to move towards paperless workflow and real-time data entry into the RLMS.

The purpose of this deliverable is to enable department resources to be ready for performing work in a new way. Specifically, and based on the set of identified individuals, roles and / or teams that are likely to affect or be affected by the department's RLMS project (per Deliverable D5A), this deliverable

- Defines regulatory-related skills and capabilities;
- Develops a RLMS-specific Skills Assessment Tool; and
- Reports on high-level, broad findings on the organization's readiness for RLMS deployment.

These analyses are developed from a skills gaps and workforce transition perspective by capturing current state workforce knowledge, skills, and capabilities for delivering regulatory and related revenue management and administrative services. Additionally, by collecting an inventory of IT-related skills from across the department, the RLMS project will be in a better position to understand the gaps in capability for supporting the solution once it is handed over from the Systems Integrator (SI).

## 1.2 DESCRIPTION

The Role-Based Skill Assessment and Gap Analysis allows us to undertake a current state assessment of current workforce knowledge, skills and capabilities for delivering regulatory and related revenue management services for specific divisions in scope (see Section 1.3). The findings outlined in this analysis are focused on articulating how to best close any current delivery capabilities gaps.

The Skills Gap Analysis deliverable has four major aspects to its content areas:

- First, the **Competency Models** define the set of regulatory lifecycle-related (technical) and business skills the department needs to ensure the sustained success of the RLMS and new ways of working in the future, including a comprehensive set of IT skills required to support the RLMS.
- Second, a **Skills Assessment Tool** captures levels of competency for RLMS users, both related to teams (this phase) and to individual positions (future phase) to enable the assessment of **current regulatory-related skills and gaps** based on an agreed-upon set of role profiles, along with an IT Skills Inventory tool to capture current IT skills across the department.
- Third, a **high-level assessment**, utilize the RLMS Skills Assessment Tool, provides a qualitative review of regulatory lifecycle skills needed and current gaps to be closed for RLMS Release 1 implementation, at a team level.



- Finally, **Results, Findings and Recommendations** include a preliminary analysis of the gaps between current and future capabilities needs and how these may be addressed in the Workforce Transition and Training Plan.

Because of the stage of the RLMS project, this deliverable should be seen primarily as a “wrapper” for the tools outlined above, with a high-level assessment giving some direction for the workforce transition.

### 1.3 SCOPE STATEMENT

The scope of the entities addressed in this deliverable includes individuals, teams and functions within FDACS that perform regulatory lifecycle-related activities.

Areas in scope for RLMS Release 1:

- Division of Licensing (DOL)
- Related mailroom, revenue collection and processing roles / activities in the Division of Administration (DOA)
- Office of Agricultural Law Enforcement (AgLaw) for the purposes of the regulatory investigative activities performed on behalf of DOL
- All IT-related staff (for the IT Skills Inventory)

Areas in scope for future RLMS releases:

- All other bureaus within divisions which perform regulatory lifecycle-related activities

Areas not in scope:

- Any bureau within a division or office which does not perform regulatory lifecycle-related activities
- Inspections carried out by the Division of Fruit and Vegetables (F&V) on behalf of the United States Department of Agriculture (USDA) (e.g., tomatoes and peanut grading)



## SECTION 2 NORTH HIGHLAND APPROACH / ASSUMPTIONS

### 2.1 APPROACH

North Highland has taken an incremental and iterative approach to developing the Skills Gap Analysis deliverable, with the initial effort focused on those roles impacted as part of RLMS Release 1. The detailed approach to carrying out the Skills Assessment and Gap Analysis is detailed in Section 4. Activities North Highland has performed specific to this deliverable:

- Leveraged the Future RLMS Enterprise Functional Capabilities Model (EFCM), RLMS Workforce Vision and Guiding Principles (Deliverable D5A in Section 7, [Attachment I](#))
- Crafted an approach to capture and measure current skills and capabilities
- Defined the FDACS Regulatory Lifecycle & IT Skills Competency Models
- Developed a RLMS Skills Assessment Tool and an IT Inventory Tool
- Conducted high-level Skills Assessment working sessions for RLMS Release 1 teams, and performed a gap analysis
- Undertook an IT Skills Inventory using the Skills Framework for an Information Age (SFIA) IT Skills Framework adapted for FDACS

#### Inputs:

- Materials created in the Workforce Transition Analysis (D5A)
- Meetings / calls / briefings / workshops with leadership from:
  - › DOL, DOA and the Division of Consumer Services (DCS)
  - › Training and Development
- Input from workshops and data validation sessions
- Input from other workstreams (Business Process Re-engineering, Systems and Data)
- North Highland experience with technology-driven workforce transformation
- Current and in-depth knowledge of the State of Florida and its agencies
- Methodology and management implementation best practices

#### Outputs:

- A Regulatory Lifecycle Competency Model, consisting of both Technical and Business Skills
- An IT Competency Model, consisting of IT Technical skills based on a best practices framework
- A set of Regulatory Lifecycle Functional Role Profiles



- Current state, high-level assessment (Skills Gap Analysis) and supporting documentation centered on roles and profiles
- A RLMS Skills Assessment tool that can be used to support individual level assessment, and potentially be integrated into the department's Learning Management System Training and Development efforts in the future
- A RLMS IT Inventory tool to establish the range and depth of IT skills across the department to support both the implementation of RLMS and the ongoing support, maintenance and enhancement of the system, including the future development of a new IT operating model
- Findings and Recommendations

## 2.2 ASSUMPTIONS

Assumptions for this deliverable:

- Competency Models are developed on the basis of positions and not the individual skills of persons in those identified positions.
- The Regulatory Lifecycle and IT Competency Models will continue to evolve over time, and will be jointly owned by the project team and the Training & Development section in DOA.
- The Regulatory Lifecycle and IT Competency Models, functional role profiles and skills assessment approach are scalable across other divisions that will implement RLMS in Release 2 and beyond.
- This deliverable captures a high-level team-based skills assessment and gap analysis with a subsequent individual level skills assessment to be carried out in a future phase of the project leveraging the tools that have been provided.
- All skills assessment results are assumed to be reasonably accurate, although as assessments are repeated and people are more familiar with the tools, it is expected greater levels of accuracy will be achieved.
- All organizational changes currently being undertaken by the department will be completed prior to the finalization of the findings in this document or be otherwise noted.
- Positions and activities in DOA are currently out of scope for this deliverable except for those responsible for performing revenue collection, processing, disbursing refunds and mailroom tasks in relation to regulatory activities.

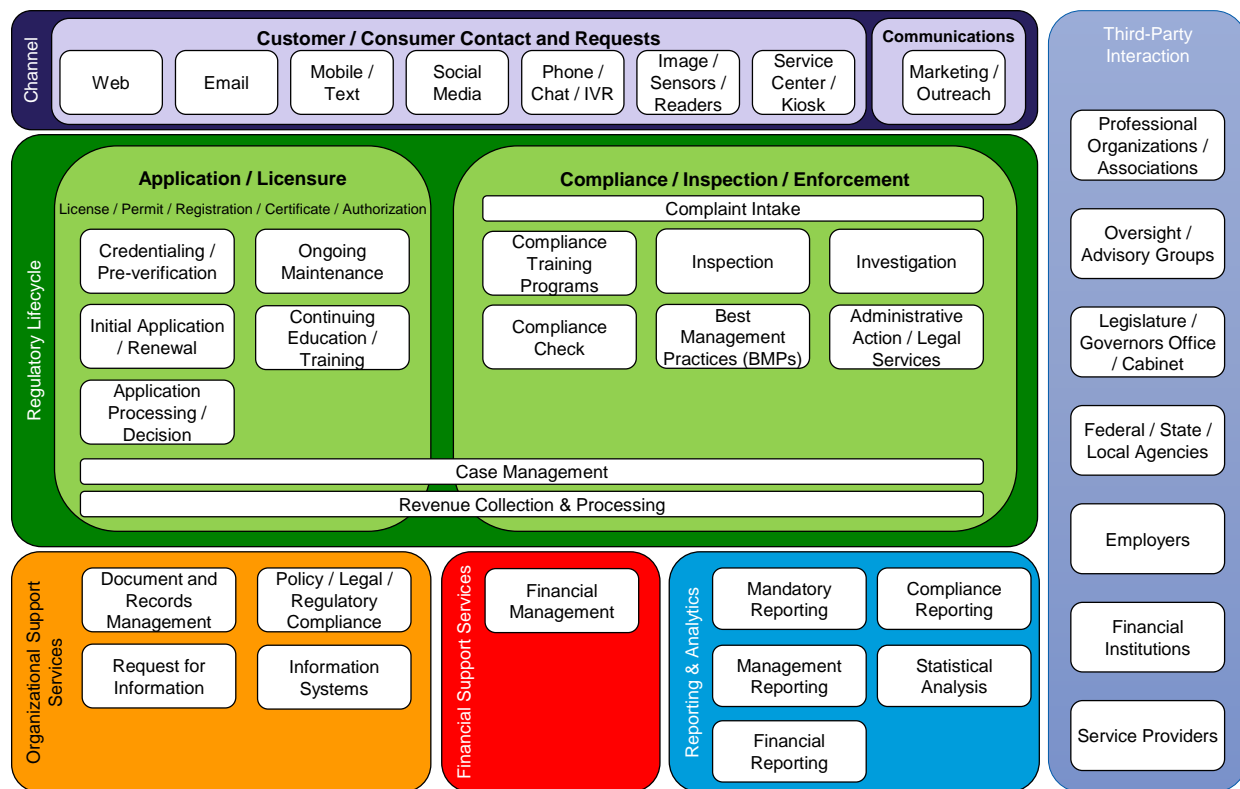


## SECTION 3 REGULATORY LIFECYCLE AND IT COMPETENCY MODELS

### 3.1 BACKGROUND TO COMPETENCY MODEL DEVELOPMENT

To carry out the primary purpose of the Role-Based Skills Assessment and Gap Analysis, it was necessary to develop a Regulatory Lifecycle Competency Model on which to base this assessment. Furthermore, in the process of undertaking this exercise, it became clear there was a gap in the scope related to understanding the IT skills in the department. To ensure the department will be able to support the RLMS system when it is handed over from the System Integrator after the DDI phase, an IT Competency model (detailed in Section 3.3) was also developed to support the IT Skills Inventory exercise.

The Deliverable D5A – Workforce Transition Analysis ([Attachment I](#)) introduced the RLMS Enterprise Functional Capabilities Model shown in the exhibit below which defined a single, consistent, conceptual view across the dimensions of process, people, and data / systems for the enterprise.



**Exhibit 2: FDACS RLMS Enterprise Functional Capabilities Model (EFCM)**

The EFCM has been used to align and validate the Regulatory Lifecycle Competency Model, and ensure that all aspects of the department’s regulatory activities are covered. Additionally,



the agreed-upon RLMS Future Workforce Vision and Guiding Principles, as outlined in the exhibit below, have been referenced and incorporated into the development of these competency models, the tools to support the Regulatory Lifecycle Skills Gap Analysis and the IT Skills Inventory.

### RLMS FUTURE WORKFORCE VISION

Empower the regulatory workforce to support the changing needs of the department, customers and other stakeholders by enabling a culture of service; leveraging efficiencies enabled by the system; focusing on relevant and aligned competencies; and the use of consistent approaches and processes across the department – working as One Team

### GUIDING PRINCIPLES

Consistent ways of working with clarity on roles, responsibilities and handoffs	A competency-based model to support career paths across the department	Co-delivery and consolidation of services, where appropriate	Coordinated regulatory activities to minimize impact on customer entities
Continuous learning and feedback from ongoing organizational transformation initiatives	Increased employee satisfaction through a focus on value-added activities and outcomes	Minimized change impact on personnel through communication, phasing and feedback	Organizational structures and capabilities aligned to changing business needs

### Exhibit 3: RLMS Future Workforce Vision and Guiding Principles

The two critical (conceptual) guiding principles defined in the [Workforce Transition Analysis](#) (Deliverable D5A) (highlighted above) that are most relevant to this work are:

1. A **competency-based model** to support career paths across the department:

The focal point for driving alignment to achieve the goals of the RLMS Future Workforce Vision is competencies. There are three key dimensions to competencies that are critical in any workforce transformation effort:

1. Assessing and ensuring that employees have the necessary skills to meet the needs of the customer and the organization
2. Defining and providing any needed training and coaching to meet the desired competency thresholds
3. Ensuring that competency mastery is clearly mapped to career development and opportunities for employees

2. Organizational structures and capabilities that are **aligned to changing business needs**:



The regulatory portfolio the department manages will change over time as driven by legislative and other factors. Therefore, it is recognized that any organizational structures and workforce capabilities will need to evolve and adapt accordingly.

The review of how regulatory and supporting financial and administrative tasks are currently performed (Section 4 of the Deliverable D5A – [Workforce Transition Analysis](#)) informed the approach to evaluating how specific regulatory-related capability and competency requirements will shift with the RLMS implementation and the transition from the Current to Future Operating Model, taking into consideration:

- Some **activities** will increase in scope, others will decrease, and new ones will be needed.
- Ability to **serve** increases as a result of RLMS Release 1.
- Resources, Customers and Stakeholders' **experiences** are improved.
- Capacity (volume), Service (level) and Resource Development will be increased.

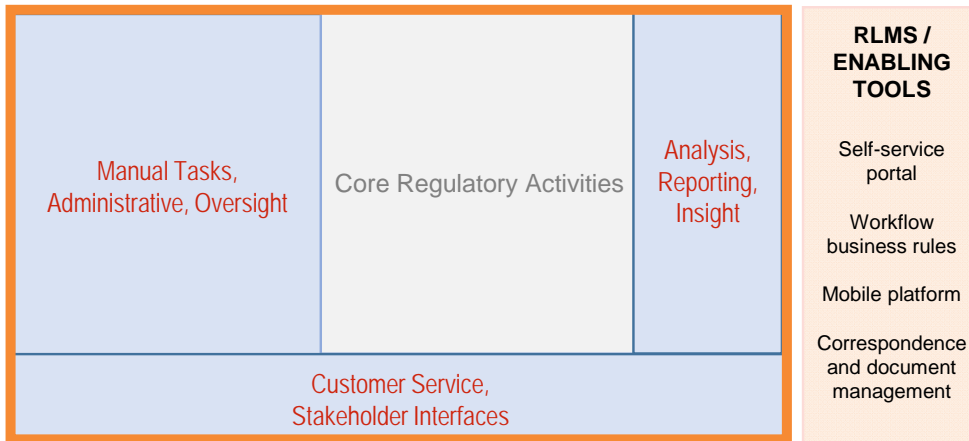
In collaboration with department leadership, North Highland identified:

- There will be compelling opportunities for performing as “**One Team**” across the department for certain types of activities currently conducted in siloes.
- The RLMS implementation will result in significant system **efficiency** gains, and will liberate resources from a large number of tactical and low value-added tasks.
- The demand for the quality and quantity of regulatory services provided is **increasing**, and there is an awareness and desire on the part of the department to successfully meet these needs.





Distribution of Activities – **Current Operating Model**

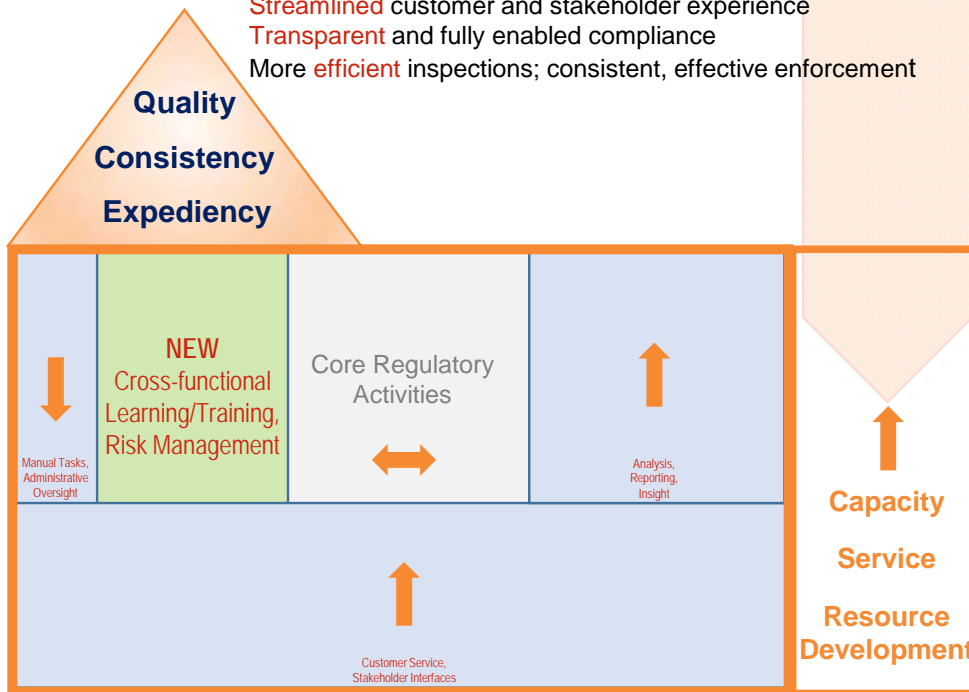


**Environment / Professional Development**

Opportunities to perform high value-added activities  
On-the-job learning/training and professional progression  
Increase in span of decision making

**Customer / Stakeholder Experience**

Streamlined customer and stakeholder experience  
Transparent and fully enabled compliance  
More efficient inspections; consistent, effective enforcement



Distribution of Activities – **Future Operating Model**

Anticipated enhanced efficiencies and higher productivity levels achieved with the Future Operating Model are not projected to result in loss of positions (except for natural attrition), but that capacity will be deployed to meet future need

**Exhibit 4: RLMS Operating Model Transition (Taken from Deliverable D5A)**



### 3.2 THE REGULATORY LIFECYCLE COMPETENCY MODEL

The Regulatory Lifecycle Competency Model consists of two core component elements that capture key skills to support regulatory lifecycle processes in meeting evolving customer / stakeholder needs:

- Regulatory Lifecycle Technical Skills
  - › Skills required specifically for regulatory activities and roles
  - › Skills that create a “common language” for regulatory lifecycle activities across the organization
  - › Transferable skills across other roles within DOL and / or to other regulatory functions
- Business Skills
  - › Generic business skills that are not specific to regulatory processes and activities
  - › Skills easily transferable to roles across and / or outside of regulatory functions

To create the Regulatory Lifecycle Competency Model for RLMS implementation, the North Highland team, in collaboration with FDACS leadership, considered the *combination* of Technical and Business Skills as:

- **Needed** for people performing regulatory lifecycle activities.
- An essential component of a successful technology **deployment**.
- Necessary to take on **new roles and capabilities** (such as enhanced forms of customer and stakeholder interaction, risk management and application of sound judgment, mining and developing insights, etc.).
- Critical to ensure the **high level of customer service** and interactions required to perform regulatory activities.
- **Complementary** to the competencies and values articulated and nurtured by the department, and not intended to supersede/replace any Training and Development or department defined approaches to skills and competencies development.

Using the RLMS EFCM (as detailed in Section 3.1) as a framework, eight key Regulatory Lifecycle Technical Skills essential to performing regulatory roles were identified, as outlined in the exhibit below. These skills also provide a platform for consistent language across the organization in relation to regulatory activities.



Function	Technical Skills	Short Description
Regulatory Operations	Regulatory Policies, Procedures, Statutes & Rules	Understanding, maintaining and applying up-to-date knowledge of regulatory policies, procedures and statutes
Application / Licensure	Application & Licensure	The intake, processing, verification, issuance or denial of Licenses, Registrations, Certificates and Permits
Compliance / Inspection / Enforcement	Compliance & Inspection	The evaluation and assessment of licensed/regulated entities through periodic systematic review to ensure that the business practices of those entities are consistent with best practices, rules, regulations, and legal and technical standards
	Regulatory Investigations	The undertaking and resolution of regulatory inquiries in response to potential violations surfaced by compliance and inspection activities and complaints
	Enforcement & Administrative Action	The planning, managing, and execution of regulatory actions including administrative and civil actions
Consumer / Customer Contact	Customer Service & Stakeholder Interaction	The meeting of internal and external customers and stakeholder regulatory-related needs
Reporting and Analytics	Reporting, Analytics & Insight	The defining, developing, running and maintaining reports to deliver operational and management insight and meet external / regulatory obligations
Financial Support Services	Revenue Collection & Financial Management	The timely collection and processing of payments, financial reconciliation – ensuring sound revenue management

### Exhibit 5: Regulatory Lifecycle Skills Summary

Utilizing a best practice framework, North Highland worked with FDACS to blend a number of potential softer skills into five Business Skills, then worked with the DOA Training and Development team to map and align to the FDACS values, as shown in the exhibit below.

Business Skills	Description	FDACS Values
Communication & Influencing	Develops wide networks and communicating effectively to serve customers. Ability to adapt to change, influence and work constructively with others	<b>Professionalism</b> Represent department values through appearance and performance
Leadership & Setting Direction	Translates vision and mission into actionable plans for the regulatory function and inspiring and mobilizing others	<b>Excellence</b> Achieve superior performance and outcomes
Innovation & Change	Encourages an environment of innovation, developing creative solutions, and acting as a change champion	<b>Innovation</b> Lead the way by developing and implementing creative solutions
Decision Making & Managing Ambiguity	Understands complex problems, generating strategic solutions, and adapting behavior and priorities to meet goals	<b>Commitment</b> Demonstrate a dedication to public service and each other
Resource Management & Supervision	Performs management activities, monitoring progress, and giving timely and constructive feedback	<b>Integrity</b> Instill trust through honest and ethical behavior

### Exhibit 6: Business Skills Summary



These skills are not unique to the RLMS project, and will feed into and may be superseded by the department-wide competency model that is in development. However, as articulated earlier in this document, given these skills are needed to undertake the Role-Based Skills Assessment and Gap Analysis, they should be considered the list of needed Business Skills for the purposes of this deliverable. The ownership of these Business skills for both the Regulatory Lifecycle and IT competency model is expected to remain with the DOA Training and Development team.

For both the Technical Skills and Business Skills, a consistent set or “tiers” of Skill Levels were then applied to each identified competency to differentiate activity, behavior and performance expectations. The four levels (Apply, Guide, Advise and Inspire) provide an overall ability to differentiate between the needed skills at different levels of competence, without being too granular, as indicated in the exhibit below. The Skills Levels capture desired proficiency for each competency, and can also serve as the basis for the identification of training, development, and career progression requirements. Within the description, there are general characteristics of that level and the typical type of role these skill levels are associated with.

Skill Level	1 - Apply	2 - Guide	3 - Advise	4 - Inspire
Description of the Skill Level	Works with routine supervision & guidance, has defined discretion (e.g. team member)	Operates independently for routine tasks, has expertise to support others (e.g. experienced team member)	Works with broad direction and is fully responsible for planning work and supervising others (e.g. supervisor)	Has substantial authority and full accountability, sets direction, policy and procedures (e.g. Bureau Chief & senior management)

Skill Progression

**Exhibit 7: Skill Levels for Regulatory Lifecycle Competency Model**

An illustrative example of a detailed competency is shown in the exhibit below, explaining the component parts. The full list of detailed competencies for both Technical and Business Skills can be referenced in [Attachment II: Competency Models and Skills Descriptions](#), and their use in the Regulatory Lifecycle Skills Assessment and Gap Analysis is described in Section 4.



Application & Licensure		Skill definition	
The intake, processing, verification, issuance or denial of Licenses, Registrations, Certificates and Permits			
1- Apply	2 - Guide	3 - Advise	4 - Inspire
<ul style="list-style-type: none"> <li>Performing standard intake procedures</li> <li>Flagging applicants' documentation gaps as part of defined verification processes</li> <li>Perform routine issuance tasks</li> </ul>	<ul style="list-style-type: none"> <li>Performing more complex intake and verification processes</li> <li>Perform complex issuance and denial tasks</li> <li>Assist less experienced resources for all application and licensure procedures</li> <li>Ensuring documentation requirements are met</li> </ul>	<ul style="list-style-type: none"> <li>Monitoring and guiding the spectrum of intake, verification, issuance/denial activities</li> <li>Ensuring application and licensure operations are performing to business expectations and that compliance requirements are met</li> <li>Flagging changing technology, processes, resources needs for the function</li> <li>Coaching resources as needed to improving performance and issuance</li> </ul>	<ul style="list-style-type: none"> <li>Responsibility for timeliness and accuracy of licensing processing and outcomes</li> <li>Ensuring application and licensing processes are aligned with, and up to date, with regulatory requirements</li> <li>Fostering accurate interfaces and handoffs other regulatory operations functions (inspection, enforcement) – and across the common dimensions of case management and revenue collection and compliance intake</li> </ul>

**Description of performance requirements by Skill Level**  
 The level of skill mastery is a function of the individual's job role, capabilities, experience, and opportunities awarded to develop

**Exhibit 8: Detailed Regulatory Lifecycle Competency Example**

This Regulatory Lifecycle Competency Model is designed to be a living document that will evolve throughout the RLMS project, particularly once the individual skills assessment is undertaken and will be owned by the FDACS Workforce Transition Lead (or designated members of the project team) going forward.

**3.3 IT COMPETENCY MODEL**

North Highland has worked with FDACS to develop a best practice IT Competency Model for the purpose of supporting the transition to RLMS and the future development of an IT Operating Model capable of providing support to the RLMS across the enterprise. It is the foundation of the IT Skills Inventory undertaken as part of this deliverable, described in more detail in Section 4.5. North Highland has adapted an internationally recognized framework – the Skills Framework for an Information Age – for the department's needs and to ensure that it is complementary to the Regulatory Lifecycle Competency Model developed as part of this project.

SFIA provides a language that is the foundation for consistent, unambiguous and clear definitions of IT based skills and is based upon recognized standards, such as ISO 20000 for IT service management, Project Management Body of Knowledge (PMBOK) for project



management, and ISO 9001 for quality management. The SFIA framework gives recognizable descriptions of the professional skills needed by people working in IT. The SFIA framework:

- contains a set of consistent proficiency levels for each IT skill
- clearly distinguishes professional skills from technical knowledge
- is maintained and updated by a process of open consultation – by the IT industry, for the IT industry

The full SFIA framework is a detailed diagnostic tool comprised of the definitions of 96 professional skills organized into six categories and 16 professional skill groups as outlined in the exhibit below. For reference the full framework is available In [Attachment III: SFIA IT Competency Model](#).

Professional IT Skills	
Strategy & Architecture	Information Strategy
	Expert Guidance and Consultancy
	Business Strategy and Planning
	Technical Strategy and Planning
Business Change	Project and Portfolio Management
	Business Change Management
	Skills Management
Solution Development and Implementation	Systems Development
	Installation and Integration
Service Management	Service Strategy
	Service Design
	Service Transition
	Service Operation
Procurement and Management Support	Supplier Management and Commercial
	Quality, Compliance and Process
Customer Interface	Customer Support

**Exhibit 9: IT Competency Model: The SFIA Framework**

The department can use these consolidated skills definitions to assist in the assessment of their skills. The result of the assessment will be an inventory of the skills and proficiency levels for each staff member. The RLMS project team will then have an inventory of skills associated with an individual’s current role(s) within the current organization. FDACS will be able to use the IT skills inventory going forward to conduct workforce transition to determine a plan for filling skill, role and position gaps based on the agreed-upon future state functional model.



The exhibit below shows the 16 Professional IT Skills, along with their descriptions grouped by the six categories, which comprise the elements of a best practice IT functional model:

Professional Skills	Description
<b>Strategy and Architecture</b>	
<b>Information Strategy</b>	The definition, management and implementation of all elements of an information strategy, policy and procedures. This includes the leadership and management of the selection, implementation and operation of information controls as well as the subsequent information analysis.
<b>Expert Guidance and Consultancy</b>	The provision of advice and recommendations on the effective use of information systems and their environments. This includes both general advice on how IT can support the wider business and specialist advice on specific technical specialties.
<b>Business Strategy and Planning</b>	Ensuring that IT is aligned with and helps to drive the organization's business strategy. It covers the overall development and control of strategy & architecture, as well as proactive innovative thinking and research to anticipate and meet the current and future needs of the organization.
<b>Technical Strategy and Planning</b>	The development of architectures and network plans which meet the present and future requirements. This includes the incorporation of continuity and sustainability considerations, and any new technologies, tools or techniques of benefit to the organization.
<b>Business Change</b>	
<b>Project and Portfolio Management</b>	The planning, execution and support of business and technology change, covering the management and coordination of individual projects, complex programs and portfolios of activity.
<b>Business Change Management</b>	Supporting the Business Change to ensure the wider business is able to maximize the benefits from technology. This includes the investigation, analysis, review and documentation of business functions and processes to best identify and align IT and Network change with business needs.
<b>Skills Management</b>	The overall resource management of the IT workforce to enable effective delivery. This includes the creation of learning & development processes and content to build the business and/or technical skills required by the organization.
<b>Solution Development and Implementation</b>	
<b>Systems Development</b>	The design, development and testing of systems and components to meet customers' needs.
<b>Installation and Integration</b>	The installation, integration testing, implementation or decommissioning and removal of solutions in accordance with agreed-upon standards and controls.
<b>Service Management</b>	
<b>Service Strategy</b>	The management of the infrastructure and resources required to provide services to meet the needs of a business. This includes the overall financial management, control and stewardship of the assets and resources used in the provision of these services.



Professional Skills	Description
<b>Service Design</b>	The management, planning, and implementation of service provision to meet current and forecast needs in a cost effective manner.
<b>Service Transition</b>	The management and process for changes to the service infrastructure and the releases of these into the live customer environment in a controlled manner.
<b>Service Operation</b>	The provision of agreed-upon levels of service, and the management of the applications, technology and infrastructure to support the delivery of these services.
<b>Procurement and Management Support</b>	
<b>Supplier Management and Commercial</b>	The sourcing and management of external partners, and suppliers, to ensure successful delivery of products and services, value for money and effective partnership.
<b>Quality, Compliance and Process</b>	The definition and application of standards and techniques for quality monitoring and improvement to any aspect of tools, processes and standard methods.
<b>Customer Interface</b>	
<b>Customer Support</b>	The provision of management, advice and assistance to ensure that the customer is fully satisfied with the quality of their IT-related products or services.

### Exhibit 10: SFIA Framework IT Skills Summary

The SFIA framework uses a system of seven proficiency levels, where each level has a full definition expressed in terms of Autonomy, Complexity, Influence and Business skills. To simplify this and align it to the Regulatory Lifecycle Competency Model, North Highland collapsed the existing 7 SFIA levels to have consistent wording with the four levels (1-2 Apply, 3-4 Guide, 5-6 Advise and 7-Inspire). However, the numbering still enables traceability back to the SFIA framework and provides an overall ability to differentiate between the needed skills at different levels of competence, without being too granular, as indicated in the exhibit below. As with the Regulatory Lifecycle Competency Model, the skills levels capture desired proficiency for each competency and can also serve as the basis for the identification of training, development, and career progression requirements. Within the description in the exhibit below, there is also an indication of the general characteristics of that level and the typical type of role these skill levels are associated with.





Skill Level	1-2 Apply	3-4 Guide	5-6 Advise	7 - Inspire
Description of the Skill Level	Works with routine supervision & guidance, has defined discretion (e.g. team member)	Operates independently for routine tasks, has expertise to support others (e.g. experienced team member)	Works with broad direction and is fully responsible for planning work and supervising others (e.g. supervisor)	Has substantial authority and full accountability, sets direction, policy and procedures (e.g. Bureau Chief & senior management)
Skill Progression				

**Exhibit 11: Skill Levels for IT Competency Model**

An illustrative example of a detailed competency is shown in the exhibit below, explaining the component parts. The full list of detailed competencies for the IT Skills can be referenced in [Attachment II: Competency Models and Skills Descriptions](#), and their use in the Regulatory Lifecycle Skills Assessment and Gap Analysis are described in Section 4.

Project and Portfolio Management		Skill definition	
The planning, execution and support of business and technology change.			
1-2 Apply	3-4 Guide	5-6 Advise	7 Inspire
<ul style="list-style-type: none"> <li>Assists with the compilation of project and programme management reports</li> <li>Maintains programme and project files from supplied actual and forecast data</li> </ul>	<ul style="list-style-type: none"> <li>Defines, documents and carries out small projects or sub projects, alone or with a small team actively participating in all phases</li> <li>Identifies, assesses and manages risks to the success of the project</li> <li>Uses and recommends project control solutions for planning, scheduling and tracking projects</li> <li>Sets up project and programme files, compiles and distributes reports</li> <li>Supports programme or project control boards, project assurance teams and quality review meetings</li> <li>Sets up and provides detailed</li> </ul>	<ul style="list-style-type: none"> <li>Leads the definition of a portfolio of change and the portfolio roadmap</li> <li>Ensures that programme and projects adhere to the agreed portfolio approach. If necessary, through engaging and influencing senior management</li> <li>Plans, directs and co-ordinates activities to manage and implement a programme from contract/proposal initiation to final operational stage</li> <li>Ensures that quality reviews occur on schedule and according to procedure</li> <li>Takes full responsibility for the definition, documentation and satisfactory completion of medium-scale projects (in terms of size and complexity)</li> <li>Ensures that realistic project, resourcing, budgeting and quality plans are prepared and maintained. Provides regular and accurate reports to stakeholders as</li> </ul>	<ul style="list-style-type: none"> <li>Leads the definition, implementation and review of the organisation's portfolio management framework</li> <li>Aligns the objectives for information system activities with business change objectives, and authorises the selection and planning of related projects and activities</li> <li>Plans, directs and coordinates activities to manage and implement complex, interrelated projects</li> <li>Leads the programme teams in determining business requirements and translating requirements into operational plans</li> <li>Monitors and reviews the economics of all programme processes, and ensures that there are effective governance arrangements, supported by</li> </ul>
<p><b>Description of performance requirements by Skill Level</b></p> <p>The level of skill mastery is a function of the individual's job role, capabilities, experience, and opportunities awarded to develop</p>			

**Exhibit 12: Example of Detailed IT Competency Model**

This IT Competency Model is designed to be a living document that will evolve throughout the RLMS project, particularly once the individual skills assessment is undertaken, and will be owned by the FDACS Workforce Transition Lead (or designated members of the project team) going forward. This can also be influenced by any incremental updates to the SFIA framework as they are released.



## SECTION 4 APPROACH TO REGULATORY LIFECYCLE SKILLS ASSESSMENT AND IT SKILLS INVENTORY

In this section of the deliverable, we set out the steps taken to accomplish the agreed-upon High-level Regulatory Lifecycle Skills Assessment and Gap Analysis along with the approach taken to achieve the IT Skills Inventory, the detail on the tools and the next steps for undertaking the Individual-level Skills Assessment and Gap Analysis for both Regulatory Lifecycle and IT Skills.

### 4.1 OVERVIEW OF REGULATORY LIFECYCLE SKILLS ASSESSMENT APPROACH

As an output of the Workforce Transition Analysis, it was established that there could be up to 1700 staff within the department impacted by RLMS, and therefore not feasible to do an assessment of the whole population. Instead, the focus of the assessment would be on positions involved in the regulatory lifecycle for Release 1 (i.e., DOL, DOA, and AgLaw). North Highland ensured the approach and tools that were being developed could be extensible to the rest of the department as future releases were being considered. This staged approach also allowed for the refinement of the regulatory lifecycle competency model through practical application to the role profiles.

The exhibit below outlines the four steps undertaken in this deliverable to achieve the agreed-upon scope for the high-level Role-Based Skills Gap Analysis for the regulatory lifecycle.



#### Exhibit 13: Regulatory Lifecycle Skills Assessment Approach

- **Step 1:** Define needed competencies (explained in Section 3)
  - › Develop and agree on high level Regulatory Lifecycle Competency Model
  - › Agree on scope for assessment (teams that are part of RLMS Release 1)
  - › Validate business needs and best practices
- **Step 2:** Develop Competencies Profiles and Assessment Tool
  - › Build and confirm Regulatory Lifecycle Competency Profiles
  - › Develop Skills Assessment Tool
  - › Brief **leadership** from divisions in scope
- **Step 3:** Conduct High-Level Skills Assessment Workshops
  - › Assess at the **functional unit level** (not individuals)



- › Focus on Regulatory Lifecycle Skills
- › Capture **learnings** for future deployment
- **Step 4: Identify Skill Gaps and Integrate in the Transition Plan**
  - › Normalize and validate **results**
  - › Develop the **Gap Analysis**
  - › Collate findings & **report**, including lessons learned for future assessments
  - › **Integrate** and output details into the Workforce Transition Plan

Following on from the identification of skills gaps, the outputs of this exercise will be incorporated into the initial Workforce Transition Plan. The expectation is that once the individual skills assessment is complete, the Workforce Transition Plan will be refreshed and updated accordingly.

#### 4.2 DEVELOPING ROLE-BASED COMPETENCY PROFILES (REGULATORY LIFECYCLE ONLY)

As outlined in the D5A Workforce Transition Analysis, it became clear due to the range of position classification titles involved in regulatory lifecycle activities across the department, there needed to be a mechanism to group similar positions undertaking similar tasks in order to provide a consistent profile for the purpose of carrying out the regulatory lifecycle skills assessment.

In order to provide clarity on the purpose of these Regulatory Lifecycle Role Profiles, the following principles (outlined in the exhibit below) were developed and confirmed with the RLMS project team, then used in briefing divisional leadership who were undertaking the assessment of their teams.

REGULATORY LIFECYCLE FUNCTIONAL PROFILES <u>ARE</u>	REGULATORY LIFECYCLE FUNCTIONAL PROFILES <u>ARE NOT</u>
An efficient approach to simplifying the RLMS skills assessment process.	Required to assess at an individual Position Number.
A descriptive label for a grouping of positions that share significantly similar skill traits.	Constrained by current Position Descriptions or Classification Titles.
A tool to identify training needs to support the RLMS Future Operating Model.	Related to the department’s performance management process.
About competency development needs.	Centered on organizational structures.
A building block for charting developmental path opportunities across the department.	Formal career paths.
A complement to the department’s Human Resources and administrative assets.	A substitute for the Position Descriptions harmonization initiative.

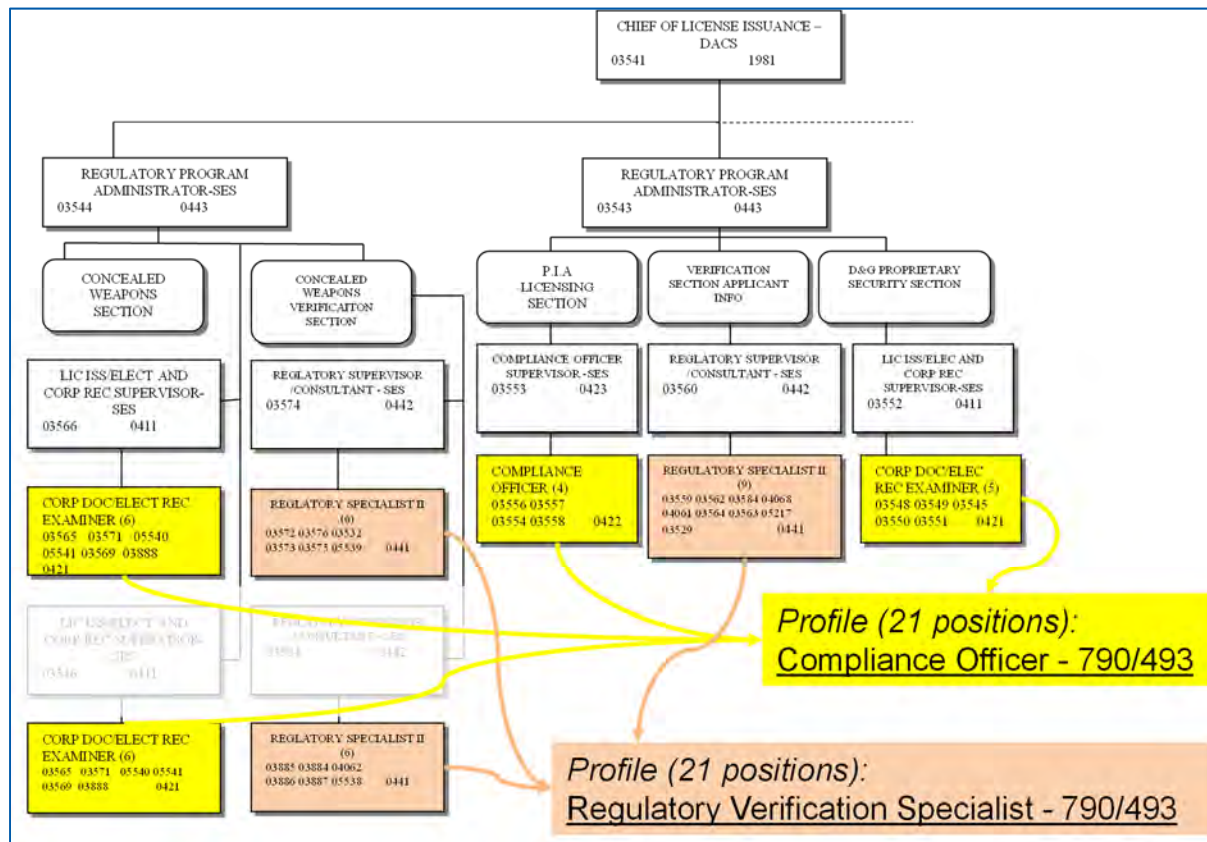


A platform to guide alignment of current resources to the RLMS Future Operating Model.	A mapping of individuals to roles.
An extendable frame of reference for developing and executing the Training and Knowledge, Skills and Abilities Plans.	An exhaustive and prescriptive instrument.

**Exhibit 14: Definition of Regulatory Lifecycle Functional Role Profiles**

Utilizing the principles outlined above and information about positions impacted by RLMS Release 1 as identified in Deliverable D5A and existing organizational charts, an exercise was undertaken to develop a set of role profiles. Subsequently, these roles were reviewed and validated with the FDACS team members to create a mapping to ensure no gaps existed. Finally, the roles were validated with the assessors (supervisory individuals familiar with a division’s Human Resources).

The approach shown in these examples was applied to RLMS Release 1 regulatory lifecycle positions across the department, resulting in 48 total Regulatory Lifecycle Profiles representing impacted positions from DOL, DOA and AgLaw (excluding IT roles), plus profiles for Inspections. An example of how this was applied to a number of teams from the DOL Bureau of License Issuance is shown in the exhibit below.





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### Exhibit 15: Regulatory Lifecycle Functional Role Identification Example

The exhibit below lists the Regulatory Lifecycle Functional Role Profiles that have been defined to date for RLMS Release 1 and beyond. These can also be viewed in the Competency Profiles tab of the [Regulatory Lifecycle Skill Assessment Tool](#). The intent was to make these roles extensible and applicable to other divisions where relevant, particularly around each element of the RLMS EFCM. This could be particularly applicable for roles involved in application, licensure, inspection, compliance and enforcement, and will be flexible enough to support future position reclassifications.

The 'Activity Area' is a way of grouping the roles by a combination of process area (e.g., Intake and Fiscal), and organizational area (e.g., Regional Offices). The 'Baseline' column value is an overall approximation of the competency level for that role, and is based on the values of the Technical and Business Skills. For example, "2/3" means the role profile has some skills at level 2 – Advise and at level 3 – Guide, whereas "1" indicates the majority of skills will be at level 1 – Apply. The role profiles for the bureau chiefs have been included for completeness, although they are not part of the assessment. Each of these roles has a competency profile with levels which were developed in consultation with the department.



Activity Area	Baseline	Regulatory Lifecycle Functional Roles
1 Issuance	1	Compliance Officer - 790/493
2 Issuance	2/3	Compliance Officer Supervisor - 790/493
3 Issuance	3	Regulatory Supervisor - 790/493
4 Issuance	1/2	Regulatory Verification Specialist - 790/493
5 Issuance	3/4	Regulatory Program Administrator - 790/493
6 Issuance	2/3	Quality Control Analyst
7 Issuance	3	Quality Control Supervisor
8 Regional Offices	1	Compliance Officer - Regional Office
9 Regional Offices	2/3	Compliance Officer Lead - Regional Office
10 Regional Offices	3	Regional Office Manager
11 Regional Offices	3/4	Regional Office Administrator
12 Customer Contact	1	Compliance Officer - PI
13 Customer Contact	2/3	Compliance Officer Supervisor - PI
14 Customer Contact	3/4	Regulatory Program Administrator - PI
15 Compliance / Enforcement	3	Regulatory Enforcement Support - Legal
16 Compliance / Enforcement	1	Case Management Attorney Support - Legal
17 Compliance / Enforcement	1	Case Management Support - Legal
18 Compliance / Enforcement	2/3	Compliance Officer Supervisor - Regulatory Review
19 Compliance / Enforcement	2/3	Compliance Officer Supervisor - Regulatory Compliance
20 Compliance / Enforcement	1	Compliance Officer - Regulatory Review
21 Compliance / Enforcement	1/2	Compliance Officer - Regulatory Compliance
22 Compliance / Enforcement	3/4	Section Chief - Regulatory Review & Compliance
23 Compliance / Enforcement	3/4	Section Chief - Enforcement/Legal
24 Compliance / Enforcement	2	Hearing Officer
25 Compliance / Enforcement	3	Hearing Officer Supervisor
26 Investigation	2/3	Investigation Supervisor
27 Investigation	1/2	Investigator
28 Investigation	3/4	Section Chief - Investigation
29 Investigation	1	Investigative Support
30 Intake	1	Application Intake & Document Management Support
31 Intake	2/3	Application Intake & Document Management Supervisor
32 Intake	3/4	Section Chief - Application Intake & Document Management
33 Intake	3/4	Tax Collectors Administrator
34 Fiscal	1	Accounting Services - Revenue Collection
35 Fiscal	1	Accounting Services - Revenue Collection (II)
36 Fiscal	2	Senior Accountant - Revenue Collection
37 Fiscal	2/3	Professional Accountant - Revenue Collection
38 Fiscal	2/3	Accounting Services Supervisor - Revenue Collection
39 Inspection	1	Inspector
40 Inspection	2	Inspection Specialist
41 Inspection	3	Inspection Supervisor
42 Inspection	4	Section Chief - Inspections
43 Leadership	4	Bureau Chief - License Issuance
44 Leadership	4	Bureau Chief - Regulation & Enforcement
45 Leadership	4	Bureau Chief - Support Services
46 Leadership	4	Bureau Chief - Finance & Accounting

Not in scope for assessment

### Exhibit 16: Regulatory Lifecycle Functional Role Profiles



As noted in the exhibit below of a snapshot of the Competency Profiles tab from the [Regulatory Lifecycle Skill Assessment Tool](#), a value of 1-4, “U” or “N/A” was entered for each of the regulatory lifecycle technical skills and business skills, based on the target level for this role (as defined in Section 3.2) and the agreed-upon baseline which were validated through the assessment process.

A value of “U” for this competency means the role needs to have an understanding of the processes and activities involved without actually having responsibility for or directly executing those processes, primarily because they have a direct interface or handover with this area (e.g., any role involved in Application and Licensure, will need to have an understanding of Revenue Collection and Financial Management). “N/A” is entered when there is no direct interaction or involvement with that area of competency (e.g., many baseline level 1 roles will not directly run reports, therefore will have “N/A” for Reporting, Analytics & Insight).

There are three groupings of technical skills defined as part of the competency profile:

- **Base Knowledge** – The required understanding of regulatory policies, procedures, statutes and rules at the level needed to perform the assigned role
- **Execution** – Core skills and knowledge required to perform roles related to a specific area of the regulatory lifecycle (e.g., Application and Licensure, Regulatory Investigations)
- **Role-Specific** – Skills that only certain roles will need to possess

Skill Level			1 - Apply	2 - Guide	3 - Advise	4 - Inspire	U - Understands	N/A - Not Applicable to the role		
<b>Competencies</b> See "Competency & Skills Definitions" Tab			Regulatory Lifecycle Technical Skills						Role-Specific	
			Base Knowledge Regulatory Policies, Procedures, Statutes & Rules	Application & Licensure	Compliance & Inspection	Regulatory Investigations	Enforcement & Administrative Action	Revenue Collection & Financial Management	Customer Service & Stakeholder Interaction	Reporting, Analytics & Insight
Activity Area	Baseline	Regulatory Lifecycle Functional Roles								
Issuance	1	Compliance Officer - 790/493	1	1	U	U	N/A	U	1	N/A
Issuance	2/3	Compliance Officer Supervisor - 790/493	2	3	U	U	U	U	3	2
Issuance	3	Regulatory Supervisor - 790/493	3	3	U	N/A	U	U	3	2
Issuance	1/2	Regulatory Verification Specialist - 790/493	2	2	U	N/A	N/A	U	2	N/A
Issuance	3/4	Regulatory Program Administrator - 790/493	3	4	U	U	U	U	4	3
Intake	2/3	Application Intake & Document Management Supervisor	2	3	U	U	U	U	3	2
Intake	3/4	Section Chief - Application Intake & Document Management	3	4	U	U	U	U	4	3
Intake	3/4	Tax Collectors Administrator	4	4	U	N/A	N/A	U	4	3
<b>Competencies</b> See "Competency & Skills Definitions" Tab			Business Skills							
			Communication & Influencing	Leadership & Setting Direction	Innovation & Change	Decision Making & Managing Ambiguity	Resource Management & Supervision			
Activity Area	Baseline	Regulatory Lifecycle Functional Roles								
Issuance	1	Compliance Officer - 790/493	1	1	1	1	1	1		
Issuance	2/3	Compliance Officer Supervisor - 790/493	2	2	2	2	2	2		
Issuance	3	Regulatory Supervisor - 790/493	3	3	3	3	3	3		
Issuance	1/2	Regulatory Verification Specialist - 790/493	1	1	1	2	1	1		
Issuance	3/4	Regulatory Program Administrator - 790/493	3	3	3	3	3	3		
Intake	2/3	Application Intake & Document Management Supervisor	2	2	2	2	2	2		
Intake	3/4	Section Chief - Application Intake & Document Management	3	3	3	3	3	3		
Intake	3/4	Tax Collectors Administrator	3	3	3	3	3	3		

**Exhibit 17: RLMS Skills Assessment Tool – Competency Profile Snapshot**



### 4.3 REGULATORY LIFECYCLE SKILLS ASSESSMENT TOOL

The Regulatory Lifecycle Skills Assessment Tool consists of the following elements:

- **Instructions** – A tab describing how to use and maintain the tool, including how to add additional Competency Profiles and set up the individual assessments
- **Competencies and Skills Definitions** – A summary level explanation of the competency model elements (as defined in Section 3.2 of this document)
- **Competency Profiles** – Where baseline competency levels for each Regulatory Lifecycle Role are defined (as explained in Section 4.2 of this document)
- **Skills Assessment – High Level** – The results of the team-based assessment carried out with the teams impacted as part of RLMS Release 1 (discussed in Section 5)
- **Individual Assessment Template** – To be used and populated when the individual assessments are undertaken at a future point in the RLMS project

The Skill Assessment – High Level tab as shown in the exhibit below has the following columns:

- **Activity Area** – Grouping by a combination of process areas (e.g., Intake and Fiscal), and organizational area (e.g., Regional Offices)
- **Regulatory Lifecycle Functional Roles** – As defined on the Competency Profile tab the group or team is being mapped to
- **Current Position Title** – The current position title for a particular group or team
- **# Positions** – The number of individuals being assessed in that group or team

Both the individual and the high-level assessment take the same approach to undertaking the assessment using three key values. First, the target competency level is drawn from the Regulatory Lifecycle Functional role defined on the ‘Competency Profiles’ tab.

- **Target** – The expected / desired competency level for that skill relevant to the team when RLMS is in place (automatically pulled from the competency profile tab for that role) as a value of 1-4, “U” (Understands) or “N/A” (Not Applicable)
- **Assessment** – The current competency level of that group or team recorded as a value of 0-4 (in 0.5 increments), “N/A”, “U” or “P” (Partial)
- **Gap** – The difference between the Target and the Assessment scores (automatically calculated by the tool)





				Regulatory Lifecycle Technical Skills								
				Base	Execution			Role-Specific				
Activity Area	Regulatory Lifecycle Functional Roles	Current Position Title	# of Positions	Regulatory Policies, Procedures, Statutes & Rules	Application & Licensure	Compliance & Inspection	Regulatory Investigations	Enforcement & Administrative Action	Revenue Collection & Financial Management	Customer Service & Stakeholder Interaction	Reporting, Analytics & Insight	
Issuance	Compliance Officer - 790/493	Compliance Officer	12	Target	1	1	U	N/A	N/A	U	1	N/A
				Assessment	1	1	U	N/A	N/A	P	1	N/A
				Gap						P		
Issuance	Compliance Officer - 790/493	Compliance Officer	4	Target	1	1	U	N/A	N/A	U	1	N/A
				Assessment	1	1	U	N/A	N/A	U	1	N/A
				Gap								
Regional Offices	Compliance Officer - Regional Office	Compliance Officer	56	Target	1	1	U	N/A	N/A	U	1	N/A
				Assessment	0.5	1	U	N/A	N/A	U	1	N/A
				Gap	-0.5							
Regional Offices	Compliance Officer Lead - Regional Office	Regulatory Specialist II - SES	8	Target	2	3	U	N/A	N/A	U	3	1
				Assessment	2	3	U	N/A	N/A	U	3	1
				Gap								

### Exhibit 18: RLMS Skills Assessment Tool – High-Level Assessment Snapshot

The high-level assessment tab was designed to capture all outputs in a single consolidated view across all activity areas being assessed.

The individual assessment tab (as a template for use in future assessments) has been set up in such a way that it can split by teams and assessors, with the intent that each individual supervisor / assessor would have their own tab (assuming competency continues to be tracked in this tool and not the LMS).

The individual assessment template tab has the following columns:

- **Position # and Employee name** – To enable reference back to the individual position being assessed (expected this will be provided by DOA BPM)
- **Current position title** – Position classification title from FDACS (expected this can be provided by DOA BPM)
- **Regulatory Lifecycle Functional Role** – Role this current position has been mapped to (to be done by the RLMS team or the assessor)
- **Target, Assessment and Gap** – Same columns as the high-level assessment

Division: LICENCING												
Team: Concealed Weapons Section												
Assessor: [Name]												
Date:												
Target = The expected / desired (target) competency level for that skill in the future, when RLMS is in place (it is automatically pulled from the competency profile tab/relevant to your team (value 1-4, U or N/A))												
Assessment = The current competency level of that group or team (value of 0-4 (in 0.5 increments), N/A, P (Partial Understanding) or U (Understands))												
Gap = The difference between the Target and the Assessment scores (automatically calculated by the tool)												
				Base Knowledge	Execution			Role-Specific				
Position #	Employee Name	Current Position Title	Regulatory Lifecycle Functional Roles	Regulatory Policies, Procedures, Statutes & Rules	Application & Licensure	Compliance & Inspection	Regulatory Investigations	Enforcement & Administrative Action	Revenue Collection & Financial Management	Customer Service & Stakeholder Interaction	Reporting, Analytics & Insight	
		Compliance Officer	Compliance Officer - 790/493	Target	1	1	U	N/A	U	1	N/A	
				Assessment	1	1	P	U	U	1	1	
				Gap			P					
		Accountant IV	Senior Accountant - Revenue Collection	Target	2	2	U	N/A	U	2	2	
				Assessment	2	2	U	N/A	U	2	2	
				Gap								
		Operations & Mgmt Consultant II - SES	Regional Office Administrator	Target	4	4	U	N/A	N/A	U	4	3
				Assessment	4	4	U	N/A	N/A	U	4	3
				Gap								

### Exhibit 19: RLMS Skills Assessment Tool – Individual Assessment Snapshot



#### 4.4 HIGH-LEVEL SKILLS ASSESSMENT

The high-level skills assessment was undertaken in three steps after briefings with divisional leadership for the RLMS Release 1 impacted areas to identify the assessors who would be participating in the exercise.

**Step 1:** An initial briefing was held with the identified assessors, walking them through the process and concepts, the Regulatory Lifecycle Competency Model and the relevant competency profiles along with an introduction on how the assessment tool worked.

**Step 2:** A working session with the assessment team was held to review and discuss the competency model descriptions and the role profiles, including the mapping of positions to role profiles. Feedback updates were applied to the competency model and the profiles. The second component of the session was the comparison of the current staff levels of competency (as a team or group) against the target / desired future state, and the identification of any gaps.

**Step 3:** The final activity was the circulation of the completed spreadsheet to the assessors for review and validation of the overall scoring to ensure normalization between teams, and to resolve any issues.

The Regulatory Lifecycle Skills Assessment Tool is available in [Attachment IV](#). This version of the tool contains all the outputs of the data from the skills assessment (discussed further in Section 5), and is designed to be printed out (best viewed on 11x17 paper).

#### 4.5 OVERVIEW OF APPROACH FOR THE IT SKILLS INVENTORY

The IT skills inventory differs from the regulatory lifecycle skills assessment as there was no future operating model defined for the IT function against which to perform a gap analysis. Instead, its primary purpose was to serve as a mechanism to establish a baseline of IT skills and capabilities across all divisions in the department impacted by an enterprise RLMS. Additionally, the outputs from this exercise are expected to feed into the future IT operating model.

The exhibit below outlines the four steps undertaken in this deliverable to achieve the agreed-upon scope for the IT Skills Inventory.



**Exhibit 20: IT Skills Inventory Approach**

- **Step 1:** Define needed competencies (explained in Section 3)



- › Adapt best practice (SFIA) IT Competency Model for the department
- › Agree on scope for assessment (all IT staff across the department)
- › Validate business needs and best practices
- **Step 2: Develop IT Skills Inventory Tool**
  - › Develop Skills Assessment Tool
  - › Brief divisional leadership on areas in scope and process
- **Step 3: Conduct IT Skills Inventory**
  - › Capture at the individual level
  - › Focus on IT Technical Skills and % time supporting regulatory applications
- **Step 4: Identify IT Skill Baseline and Integrate in the Transition Plan**
  - › Normalize and validate results
  - › Collate findings & report, including lessons learned for future assessments
  - › Integrate and output details into the Workforce Transition Plan

The exhibit below (also available as [Attachment V: IT Skills Inventory Tool](#)) shows a snapshot of the IT Skills Inventory Tool comprised of:

- Columns containing information about the IT-related positions, as identified through the Workforce Transition Analysis Deliverable and confirmed via BPM, including identified vacant positions.
- A column to capture the percentage of time the position supports the regulatory applications.
- Columns to capture each of the 16 identified IT skills.

Target Competency Profile for IT Roles										
Competencies					See Tab "Competency & Skills Definitions"					
Division	Position Number	Name	IT Roles	% of Time Supporting Regulatory Applications	Strategy & Architecture	Business Change	Solution Development and	Service Management	Procurement and Management	Customer Interface
					Information Strategy	Project and Portfolio Management	Systems Development	Service Design	Supplier Management and Commercial	Customer Support
AGRICULTURAL ENVIRONMENTAL SERVI	001321	LEGEF	DATA PROCESSING MANAGER - SES	100%	5-6 Advise	7 Inspire	7 Inspire	N/A	1-2 Apply	7 Inspire
AGRICULTURAL ENVIRONMENTAL SERVI	000134	CUNNI	DISTRIBUTED COMPUTER SYSTEMS ANALYST	100%	N/A	N/A	N/A	N/A	N/A	N/A
AGRICULTURAL ENVIRONMENTAL SERVI	001097	HOWE	SYSTEM PROJECT CONSULTANT	100%	3-4 Guide	3-4 Guide	5-6 Advise	N/A	N/A	3-4 Guide
ANIMAL INDUSTRY	001095	VACA	DATA PROCESSING MANAGER - SES	30%	5-6 Advise	5-6 Advise	3-4 Guide	5-6 Advise	5-6 Advise	3-4 Guide
ANIMAL INDUSTRY	005229	MCQU	DISTRIBUTED COMPUTER SYSTEMS ANALYST	40%	3-4 Guide	1-2 Guide	1-2 Apply	3-4 Guide	3-4 Guide	3-4 Guide
AQUACULTURE	003174	HARR	DISTRIBUTED COMPUTER SYSTEMS ADMIN - SES	30%	1-2 Apply	3-4 Guide	3-4 Guide	3-4 Guide	3-4 Guide	5-6 Advise
AQUACULTURE	005093	SULLI	DISTRIBUTED COMPUTER SYSTEMS SPECIALIST	10%	1-2 Apply	1-2 Apply	1-2 Apply	N/A	N/A	1-2 Apply
CONSUMER SERVICES	000273	SAVA	DATA PROCESSING MANAGER - SES	80%	5-6 Advise	5-6 Advise	5-6 Advise	5-6 Advise	5-6 Advise	7 Inspire
CONSUMER SERVICES	000212	EDMO	DISTRIBUTED COMPUTER SYSTEMS ANALYST	60%	N/A	1-2 Apply	1-2 Apply	N/A	N/A	1-2 Apply
CONSUMER SERVICES	000291	VACA	DISTRIBUTED COMPUTER SYSTEMS ANALYST	60%	N/A	1-2 Apply	1-2 Apply	N/A	N/A	1-2 Apply
CONSUMER SERVICES	000528	ARBO	SYSTEM PROJECT CONSULTANT	90%	N/A	1-2 Apply	3-4 Guide	N/A	N/A	3-4 Guide
CONSUMER SERVICES	001103	COOP	SYSTEM PROJECT CONSULTANT	70%	N/A	1-2 Apply	3-4 Guide	N/A	N/A	3-4 Guide
FOOD SAFETY	000647	GREY	SENIOR INFO TECH BUSINESS CONSULTANT	40%	3-4 Guide	3-4 Guide	5-6 Advise	3-4 Guide	5-6 Advise	5-6 Advise
FOOD SAFETY	000270	DU, Z	SYSTEM PROJECT CONSULTANT	60%	1-2 Apply	3-4 Guide	5-6 Advise	5-6 Advise	1-2 Apply	5-6 Advise

Exhibit 21: IT Skills Inventory Snapshot



## SECTION 5 RESULTS AND GAP ANALYSIS

In this section we highlight the results of both the high-level Regulatory Lifecycle Skills Assessment along with the identified gaps, as well as the outputs of the IT Skills Inventory which does not have a gap analysis associated with it given there is no future IT operating model to compare with yet.

### 5.1 REGULATORY LIFECYCLE SKILLS ASSESSMENT RESULTS AND GAP ANALYSIS

The work product illustrated in the exhibit below (available as [Attachment VI: Regulatory Lifecycle Skills Assessment Results and Gap Analysis](#)) is a detailed narrative summary of the outputs captured in the Skills Assessment Tool and of the assessment working sessions held with FDACS staff. It provides the highlights and observations of the validated competency profiles, as well as the results of the skills assessment for these roles.

FUNCTIONAL ROLE	FTEs	BASELINE	ASSESSMENT RESULTS / GAPS / COMMENTS
<b>ISSUANCE</b>			
Compliance Officer - 790/493 (CW / PIA / DG)	21	1	<p><b>Competency</b></p> <ul style="list-style-type: none"> <li>Key focus is on application and licensure; requires understanding of compliance and inspection</li> <li>Potential need to understand regulatory investigation for 493 only</li> </ul> <p><b>Assessment</b></p> <ul style="list-style-type: none"> <li>At level for business skill</li> <li>Partial understanding of revenue collection (CW only)</li> <li>Skills gap is seen more in new hires, temporary staff and OPS</li> </ul>
Compliance Officer Supervisor - 790/493 (CW / PIA / DG)	4	2/3	<p><b>Competency</b></p> <ul style="list-style-type: none"> <li>High degree of focus on customer service; role has reporting requirements; interfaces with enforcement and administrative action</li> </ul> <p><b>Assessment</b></p> <ul style="list-style-type: none"> <li>At level across all assessments</li> <li>At level for business skills (level 2)</li> </ul>
Regulatory Verification Specialist - 790/493 (CW / Verification)	21	1/2	<p><b>Competency</b></p> <ul style="list-style-type: none"> <li>Key focus is on application and licensure; more complex role than compliance officers; requires understanding compliance and inspection</li> <li>Business skills level 1, except level 2 for decision making and ambiguity because of the nature of the role</li> <li>Potential need to understand regulatory investigation for 493 only</li> </ul> <p><b>Assessment</b></p> <ul style="list-style-type: none"> <li>At level for business skills and for technical skills</li> </ul>

### Exhibit 22: Regulatory Lifecycle Skills Assessment Results and Gap Analysis Snapshot

### 5.2 IT SKILLS INVENTORY RESULTS

Key findings from the results of the IT Skills Inventory exercise are set below, and have been grouped into three themes:

1. Proportion of time spent supporting regulatory applications
2. Distribution of IT skills by category and level across the department
3. Distribution of IT skills by division

#### Theme 1: Proportion of time spent supporting regulatory applications

Collecting and analyzing information about the number of IT staff across the department who are supporting regulatory applications enables the validation and refinement of the information collected as part of the initial Workforce Transition Analysis (Deliverable D5A), and who will be impacted by the implementation of RLMS.



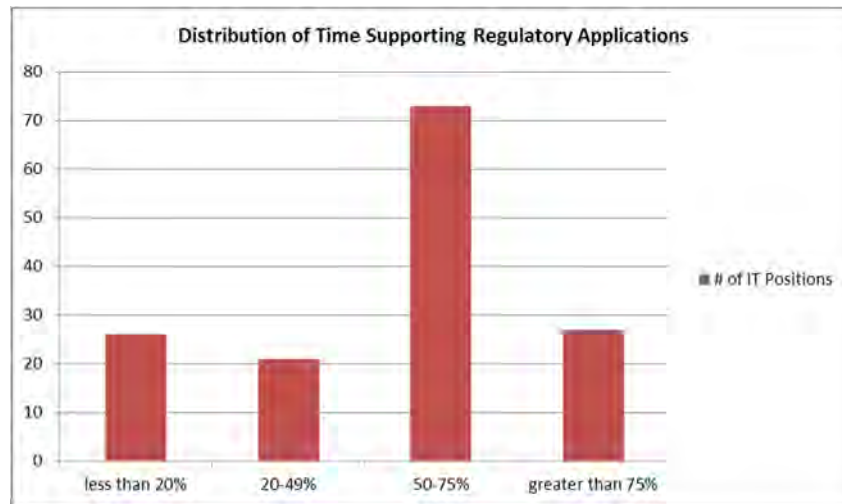
As seen in the exhibit below, in total there is a significant number of staff from across the department involved in supporting regulatory applications. Outside of OATS, this consists of the equivalent of 40 full-time resources. Combined with OATS, this is the equivalent of 71 full-time resources or nearly 50% of the total IT capacity of the department. This currently excludes the time spent by IT staff in Administration supporting revenue collection and processing related systems such as ROC, EGC and REV.

Division	Number of IT Positions	FTE Supporting Regulatory Applications
LICENSING	12	12
ADMINISTRATION	5	0
OATS	61	30.5
AGRICULTURAL LAW ENFORCEMENT	3	0.15
AGRICULTURAL ENVIRONMENTAL SERVICES	4	4
ANIMAL INDUSTRY	3	0.8
AQUACULTURE	2	0.4
CONSUMER SERVICES	9	7.2
FLORIDA FOREST SERVICE	17	4.75
FOOD SAFETY	12	3.4
FOOD, NUTRITION & WELLNESS	2	1
FRUIT AND VEGETABLES	5	3.4
MARKETING AND DEVELOPMENT	2	0.1
OFFICE OF AGRICULTURAL WATER POLICY	3	1
PLANT INDUSTRY	9	2.4
<b>Grand Total</b>	<b>149</b>	<b>71.1</b>

**Exhibit 23: Numbers of FTE Supporting Regulatory Applications by Division**

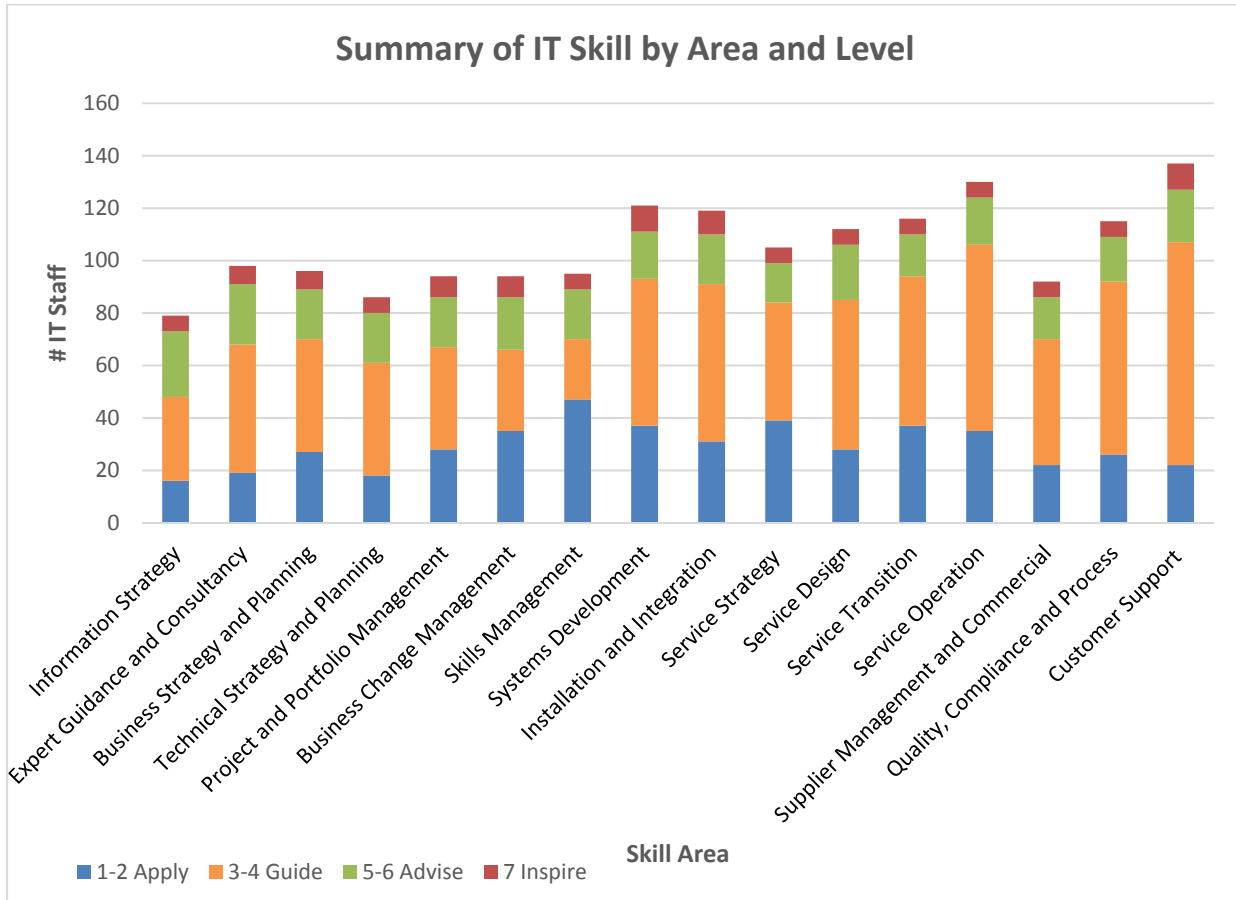
It should also be noted 19 out of the 149 positions were vacant at the time of data collection. All but two of the 149 positions had a percentage of time allocated for support of regulatory applications.

The second aspect to be considered is the distribution of time spent supporting regulatory applications with the hypothesis those positions which spend less than 20% of their time supporting regulatory applications will be minimally impacted, and those spending 50% or more of their time will be highly impacted through the implementation of RLMS. As shown in the exhibit below, 26 out of 147 positions spent less than 20% of their time, and 100 out of 147 (approximately two-thirds) of the IT positions spent 50% or more of their time supporting regulatory applications.



## Theme 2: Distribution of IT skills by category and level across the department

Taking the level of experience and competency data collected for each of the 16 IT skills in the inventory exercise, there are a significant number of people with each skill, and the majority of the positions are at a level of experience of 3-4 Guide or greater in the department as a whole, as displayed in the series of exhibits below. Areas that stand out as particular strengths across the department include Customer Support, Service Operations, System Development and Installation and Integration.



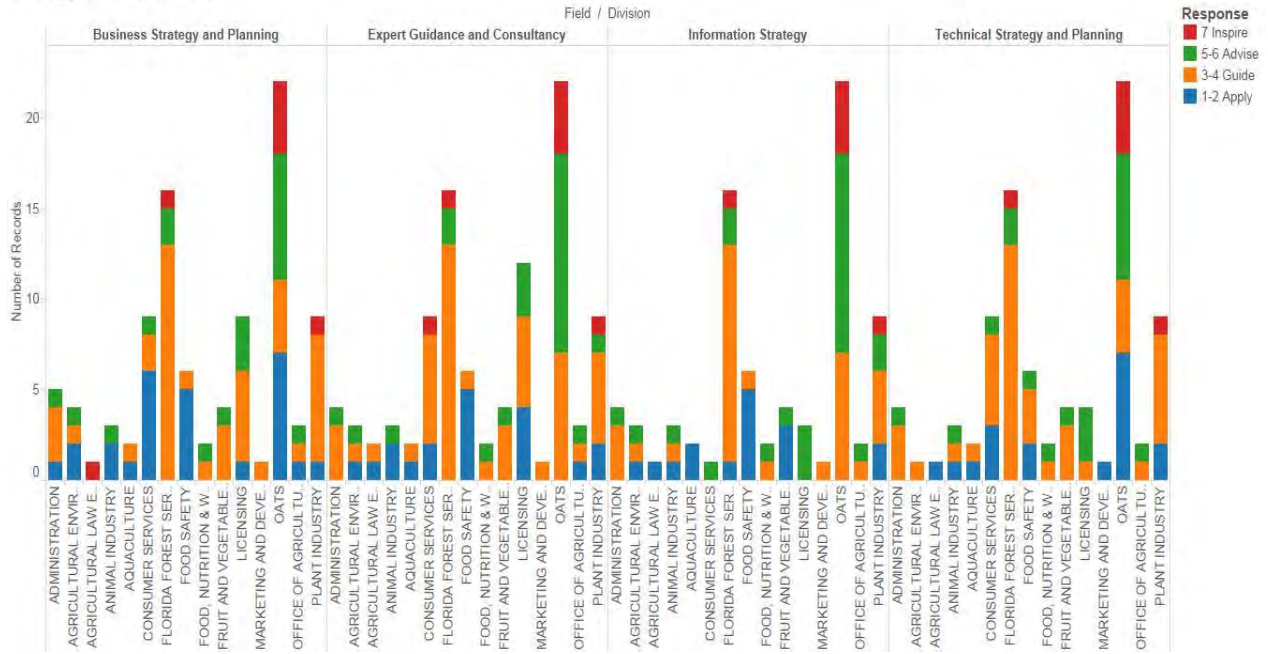
**Exhibit 24: Summary of IT Skills by Area and Level**

**Theme 3: Distribution of IT Skills by Division**

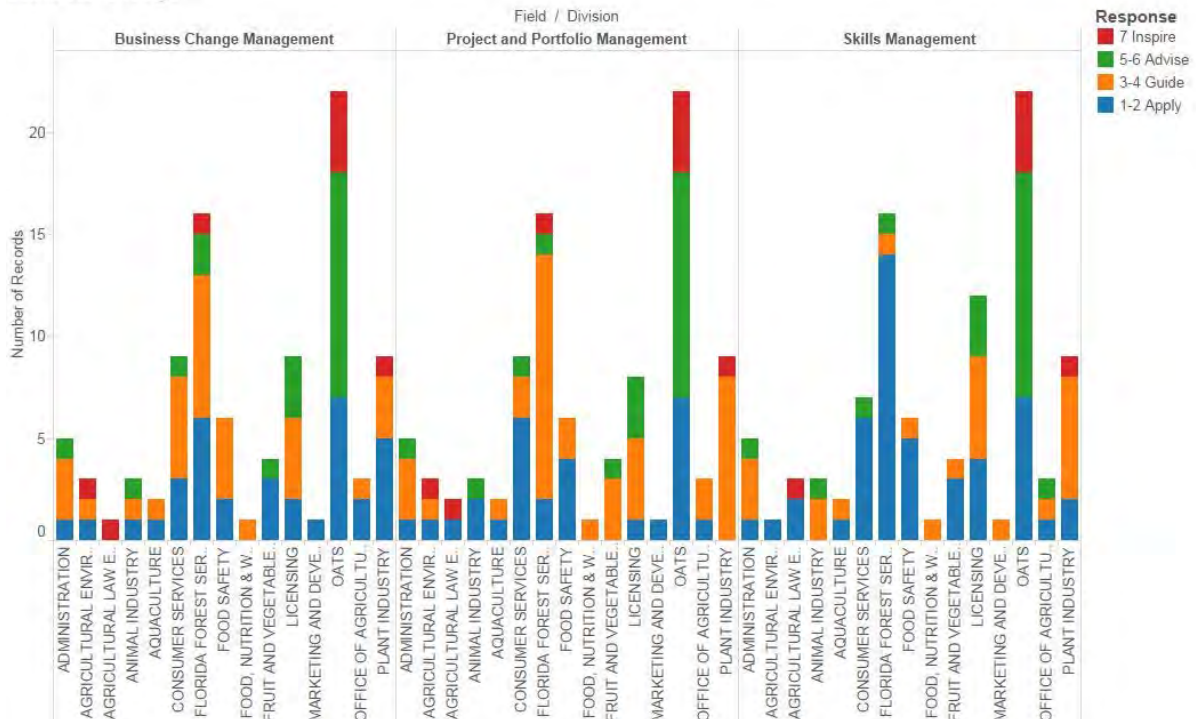
Analysis of the data collected on the 16 skills grouped into six categories (Strategy & Architecture, Business Change, Solution Development & Implementation, Service Management, Procurement & Management Support and Customer Interface) shows a detailed breakdown by division of the distribution of these skills as seen in the following exhibits.



Strategy & Architecture



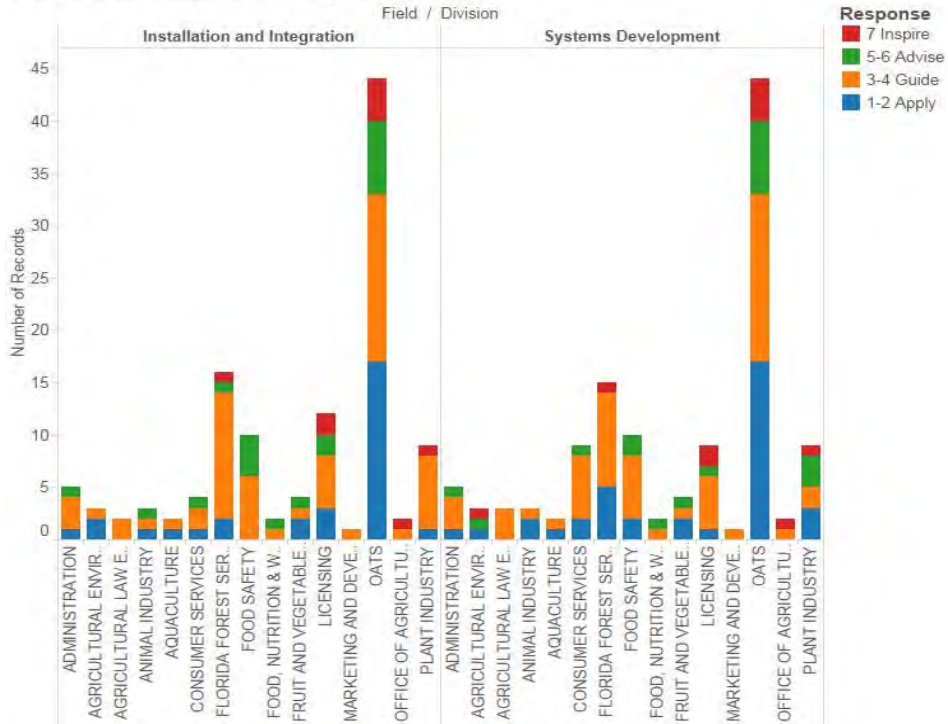
Business Change



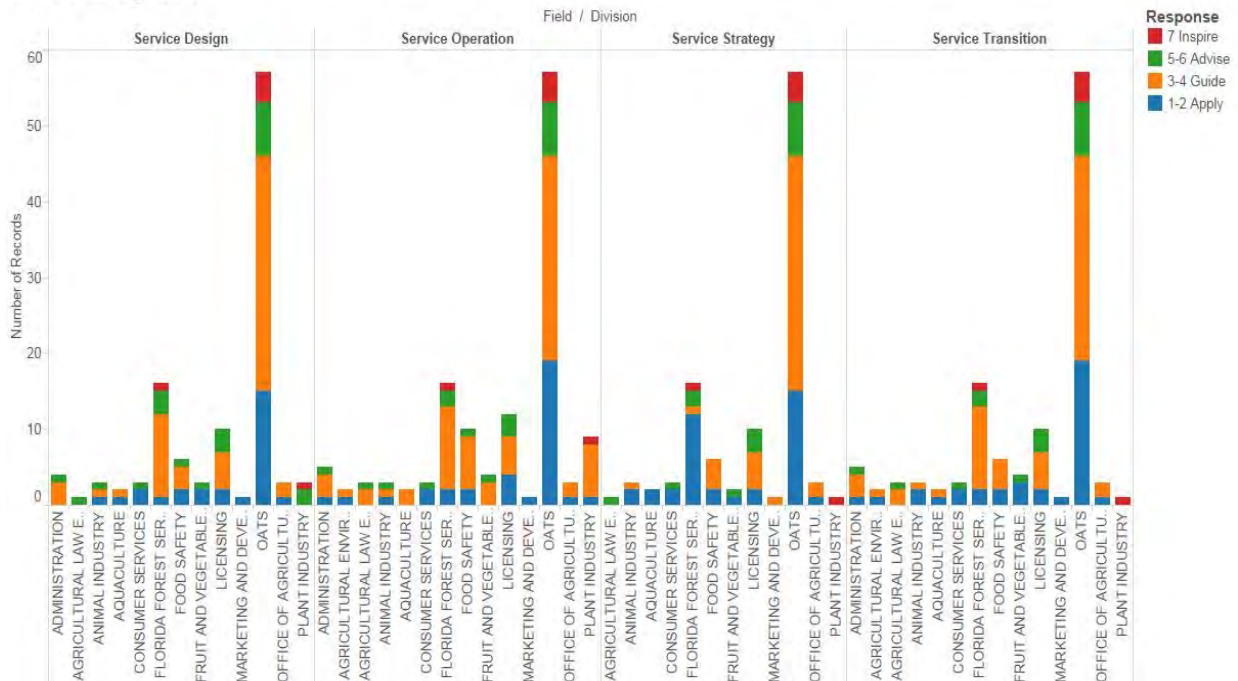




### Solution Development & Implementation

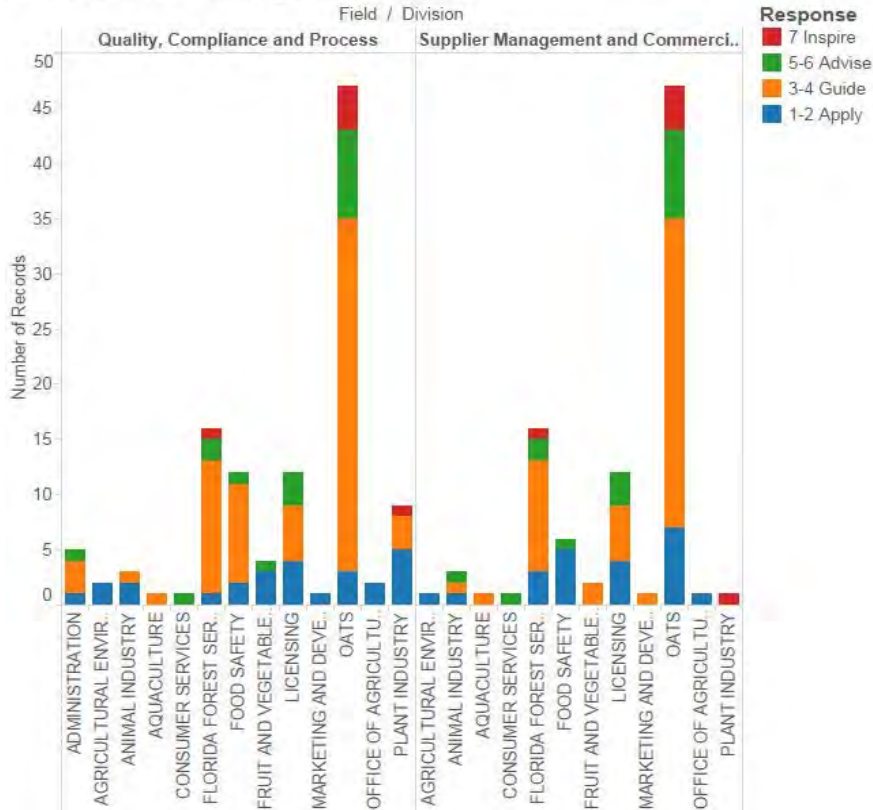


### Service Management

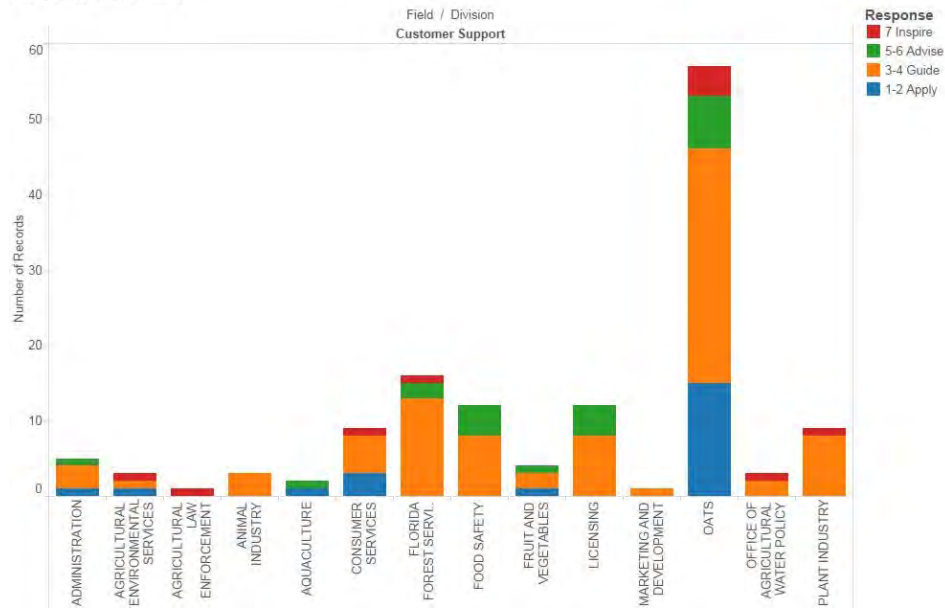




### Procurement & Management Support



### Customer Interface



### Exhibit 25: Summary of IT Skills by Division and Level



## SECTION 6 FINDINGS AND RECOMMENDATIONS

Based on the high-level assessment results articulated in Section 5 and the observed opportunities and gaps from the current approach, the findings and recommendations are broken into the following two areas:

- The Regulatory Lifecycle Competency Model and Role-Based Skills Assessment
- The IT Competency Model and Skills Inventory

The primary findings from the Role-Based Skills Gap Analysis are:

- Overall, the department’s staff is well-trained, and skills are at expected levels in most areas.
- The roles that require the greatest level of training are in the process areas of Intake (both DOA and DOL) and Fiscal (DOA only)
- Two primary areas of training needs are:
  - › Business Skills – General Business skills training will be needed as work shifts away from document handling, data entry, and manual processing towards customer self-service and automated processes.
  - › System and Business Process Training – As expected, end users will require training on how to use the new system to accomplish new and revised business processes.
- A significant number of roles will require training in the area for Reporting and Analytics.
- Also as expected, training needs are greatest when new employees are hired or transferred into a role.

OPPORTUNITIES / GAPS	RECOMMENDATIONS
For roles where gaps have been identified in basic business skills capability, the opportunity exists to close this gap in advance of RLMS Implementation.	FDACS Training and Development should leverage this assessment to identify, develop and deliver appropriate business skills curriculum and coursework at a level of sufficient frequency to prepare RLMS users prior to the initial roll out of the system.
Where there are gaps in general regulatory lifecycle skills and knowledge, the opportunity exists to leverage the knowledge and expertise of the DOL Bureau of License Issuance (BLI), across the whole of DOL.	Identify individuals that can serve as active mentors and coaches to improve understanding of Application and Licensure across DOL
RLMS will have robust data and analytics reporting capabilities.	The department should identify and cultivate highly specialized Bureau-level roles to support and develop best practices, and participate in a community of interest.



OPPORTUNITIES / GAPS	RECOMMENDATIONS
It was difficult for the assessors in the team-based assessment to say whether there was a true gap if only some and not all individuals possessed the skill.	Conduct individual assessments as proposed, and revalidate the skills assessment by team.
When individual level assessments are conducted, there will be an opportunity to create individualized learning plans for employees.	Ensure that before individual assessments are conducted, both assessors and those assessed approach the process as an opportunity for growth.
When positions are filled, the position description alone may not be the best criteria for selecting a candidate.	Use the Regulatory Lifecycle Competency Model and Profile to select the best candidate for the role.
When new employees are hired or transferred into a role, there is an opportunity to provide RLMS “on-boarding.”	The DDI vendor should create a specific RLMS overview and user training module for new staff.
Through this assessment, the department is developing a foundational, common language for regulatory lifecycle-related roles.	Leverage this for future releases to ensure these roles are going to be suitable. Reflect any outputs of the ongoing position classification harmonization exercises.
At the time of the high-level assessment, the DOL regional offices had just recently migrated from BRE to BLI and were in the process of developing SOPs and standardizing approaches. The leadership did not feel capable of making a detailed assessment given the recent change.	The department should revisit the regional office assessments once the regional office leadership better understands the situational dynamics in each office and the SOPs and standardizing approaches are in place.
Related to IT, a skills assessment could not be conducted for IT skills because a future operating model for RLMS has yet to be created.	Develop the future IT RLMS operating model and collect information from the DDI vendor regarding required skill sets to maintain and operate the new system.
Related to IT, there is an opportunity to share information and expertise between divisional silos.	As part of the RLMS project phases, use the opportunity of interacting with the vendor to undertake knowledge sharing, including team members.
Ownership of the assessment tools.	Identify specific owners for both the Regulatory Lifecycle Skills Assessment and IT Skills Inventory Tools, and do a formal handover of both.
The department has recently implemented a new LMS with competency development capabilities.	The department should consider migrating the processes and data in this assessment tool into the department’s new LMS, and use the LMS to conduct future assessments and ongoing monitoring.

**Exhibit 26: Skills Assessment Opportunities and Recommendations**



## **SECTION 7 ATTACHMENTS**

### **7.1 ATTACHMENT I: RLMS WORKFORCE TRANSITION ANALYSIS (DELIVERABLE D5A)**

[151210-DACS02-D5A-Workforce-Transition-Analysis-v100](#)

### **7.2 ATTACHMENT II: REGULATORY LIFECYCLE AND IT COMPETENCY MODELS**

[160201-DACS02-D5D-Attachment-II-Competency-Models-and-Skills-Descriptions-v100](#)

### **7.3 ATTACHMENT III: SFIA IT COMPETENCY MODEL**

[160217-DACS02-D5D-Attachment-III-SFIA-v5-Framework-v100](#)

### **7.4 ATTACHMENT IV: RLMS SKILLS ASSESSMENT TOOL**

[160217-DACS02-D5D-Attachment-IV-Skills-Assessment-Tool-v100](#)

### **7.5 ATTACHMENT V: IT SKILLS INVENTORY TOOL**

[160217-DACS02-D5D-Attachment-V-IT-Skills-Inventory-Tool-v100](#)

### **7.6 ATTACHMENT VI: RLMS SKILLS ASSESSMENT DETAILED RESULTS**

[160217-DACS02-D5D-Attachment-VI-Regulatory-Lifecycle-High-Level-Results-and-Gap-Analysis-v100](#)

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**REGULATORY LIFECYCLE MANAGEMENT  
SYSTEM (RLMS) PRE-DDI PROJECT**

*D5A-Workforce Transition Analysis  
(WTA)*

Date: 12/15/2015  
Version: 100



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### Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
10/08/2015	North Highland	001	Initial draft
10/22/2015	North Highland	002-005	Ongoing Edits
11/16/2015	North Highland	006	Draft for Internal QA
11/20/2015	North Highland	007	Draft for FDACS Review
12/08/2015	North Highland	008	Edits following FDACS Review
12/10/2015	North Highland	009	Final revisions following Deliverable Review Meeting with FDACS
12/15/2015	North Highland	100	Baseline

### Quality Review

NAME	ROLE	DATE
Tom Howard	Peer Review	11/11/2015
Geir Kjellevoid	Internal QA	11/17/2015
Michael Stephens	Internal QA	11/19/2015
Richard Cefola	Internal QA	11/19/2015



## SECTION 1 INTRODUCTION

North Highland has been asked to assess the Regulatory Lifecycle Management System (RLMS) Project Workforce Transition needs, and establish and create a communication strategy that facilitates change. The Workforce Transition Analysis (WTA), is the first of three deliverables that together will address the overall organization and workforce needs, strategies, and activities needed for the Florida Department of Agriculture and Consumer Services (FDACS) workforce to be willing, able, and capable of moving to the new environment and using the new system to deliver better outcomes for those regulated / served by the department.

Workforce Transition encompasses the set of activities necessary for employees to successfully master the new ways of working after the RLMS is in place, including the knowledge, skills and abilities required to operate in the new environment. The new ways of working may result in changing where and how activities get completed and by whom, including workflows, approvals, and handoffs.

The Exhibit below depicts North Highland’s Workforce Transition workstream and shows how related deliverables are driven by the findings of the WTA. Associated Deliverables that are part of the workstream include:

- Role-Based Skills Assessment and Gap Analysis (Deliverable D5D)
- Workforce Training Plan and Workforce Knowledge, Skills and Abilities (KSA) Transition Plan (Deliverable D5B-C)



**Exhibit 1: Workforce Transition Workstream**

Additionally, the Workforce Transition workstream analysis and deliverables are also used by the North Highland team to create the Organizational Change Management (OCM) activities; to assess how the needs of stakeholders can be addressed throughout the project; and to inform how the organization as a whole can respond to the changing environment of its workforce.

A stakeholder is a potentially affected specific audience; a grouping of people / roles with similar issues, needs, type and degree of impact who can affect the RLMS project or are affected by the project group (e.g., Division Director, Bureau Chief / Bureau Staff, External Entities, etc.). The Stakeholder Analysis in Deliverable D4A-B-C identifies the following set of stakeholders for the RLMS project:



- **Executive Leadership** – The Commissioner, the Assistant Commissioner, the Deputy Commissioners, and other, non-project-related leadership.
- **Division Directors / Office Directors / Assistant Division Directors**
- **Bureau / Section Chiefs**
- **FDACS Staff (RLMS Users)**
- **Other FDACS Staff (Non-RLMS Users)** – Primarily FDACS employees who will not use RLMS, but may work with or know of others who do.
- **Tax Collectors** – Tax Collectors' Office staff who currently use the CWIS system.
- **IT Support Staff** – IT Support staff in the divisions and in OATS
- **FDACS Governance** – This group oversees the RLMS Project and makes decisions that greatly impact the design and implementation of the RLMS.
- **External Stakeholders** – Groups, organizations, advisory bodies, and entities external to FDACS that have influence over the project or can be vocal in support or opposition of the system implementation.
- **Information Sharing Partners** – Entities with whom FDACS shares data on a daily or frequent basis. RLMS implementation may require coordination with Information Sharing. Partners.
- **As-Needed Information Sharing Partners** – These are entities that receive data requests from FDACS or provide data on an ad hoc basis.
- **Governmental Stakeholders** – The Legislature, the Governor's Office, the Florida Cabinet, and regulating bodies.
- **Customers, Consumers, License and Permit Holders, Applicants, General Public** – Any individual who is requesting or receiving a service from FDACS, or is impacted by the RLMS.

At times throughout the project, there will be personally identified and named Stakeholder individuals. These are individuals who, by their high degree of involvement in the project, may be fully aware of project activities and events and require frequent communication to keep them abreast of issues and decisions (currently no Individual Stakeholders are identified in the Stakeholder Analysis Matrix).

The OCM workstream covers the stakeholder and communications dimensions of the RLMS project and delivers a Change Readiness Plan and related Communication Plan to support the execution of the Findings and Recommendations in this document (as described in Section 6).

## 1.1 PURPOSE

The purpose of the WTA (Workforce Transition workstream – Deliverable D5A) is to establish the desired Future Operating Model for RLMS, as well as perform an initial assessment of the Current Operating Model for the regulatory lifecycle-related activities. The analysis identifies individuals or teams that are likely to affect or be affected by the department's RLMS Project



and assesses how the new system is likely to impact people's jobs, roles, training needs and customer outcomes.

At its core, the RLMS will change the way people work to deliver activities across the regulatory lifecycle and the way this technology is supported across the department. With the anticipated improvement in system capabilities such as workflow, business rules, mobile access, and self-service, data entry tasks will shift from FDACS staff to the customer, offering FDACS staff the opportunity to spend more time on higher-value duties, and for staff in the field to move towards paperless workflow and real time data entry into the RLMS.

The WTA deliverable is designed to be a strategic tool to guide management in decision-making on how to best adapt and support the organization and its resources to meet future needs. It articulates the impacts of, and how to plan for, a transition effort that closely aligns people with directional business strategy (desired future state of the organization), and makes optimal use of improved and technology enabled processes.

Hence, the findings outlined in the document are focused on articulating how to best close any current delivery capabilities gaps through new ways of working – towards more value-added duties and activities, more aligned processes, and better coordinated handoffs by fully leveraging the new system (RLMS) and enabling the department to achieve its efficiency and quality of customer service goals while providing paths for employee development and career advancement.

## 1.2 DESCRIPTION

The WTA deliverable has four major aspects to its content areas:

- First, the **Future Operating Model and Workforce Vision**, including defining the regulatory lifecycle and a high-level enterprise view of the functions to be supported by the RLMS project in the future (Enterprise Functional Capability Model), along with the future vision and guiding principles for the workforce.
- Second, the assessment of the **Current Operating Model**, providing a high level review of how regulatory work is delivered both for Release 1 divisions (Licensing and Administration) and other divisions / offices undertaking regulatory activities in terms of organization and positions types, key touchpoints and responsibilities.
- Third, an assessment of the likely **Capability Changes**, in the move from current to future operating models including the identification of new or enhanced capabilities that will be required in the Future Operating Model and those capabilities that will be less significant or no longer required.
- Finally, **Findings and Recommendations**, including a preliminary analysis identifying apparent gaps between current and future operating models, how the organization may be impacted, and workforce issues to be considered throughout the project. This final section includes recommendations related to opportunities for workforce transition throughout the life of the RLMS Project and how these can feed into subsequent workstream deliverables.



### 1.3 SCOPE

The scope of the entities addressed in this deliverable includes individuals, teams and functions within FDACS that perform regulatory lifecycle-related activities. This includes both FTE (Full-Time Equivalent) and OPS (Other Personal Services) positions.

Areas in scope for RLMS Release 1 are:

- Division of Licensing (DOL)
- Related revenue collection and processing and mailroom roles / activities in the Division of Administration (DOA)
- Office of Agricultural Law Enforcement (AgLaw), for the purposes of the regulatory investigative activities it performs on behalf of DOL

Areas in scope for future RLMS releases are:

- All other bureaus within divisions which perform regulatory lifecycle-related activities

Areas not in scope:

- Any bureau within a division or office which does not perform regulatory lifecycle-related activities
- Inspections carried out by the Division of Fruit and Vegetables (F&V) on behalf of the USDA (e.g., tomatoes and peanut grading)



## SECTION 2 NORTH HIGHLAND APPROACH / ASSUMPTIONS

### 2.1 APPROACH

North Highland has taken an incremental and iterative approach to developing the WTA deliverable, with the initial effort focused on the RLMS Release 1. This is the focus of the document, and the Findings and Recommendations in Section 6 are set forth to assist the department in framing and addressing its workforce transformation needs along the RLMS implementation journey.

Activities North Highland has performed specific to this deliverable are:

- Gather current state information
- Articulate an RLMS Workforce Vision and a set of Guiding Principles
- Develop a Future RLMS Enterprise Functional Capabilities Model
- Perform a macro-level analysis of a representative set of position descriptions for regulatory related roles across the department
- Consider and account for post-RLMS Release 1 implementation workforce transition implications

To perform the WTA, North Highland held meetings / calls with key FDACS representatives and interviewed them for information on: functional roles across the department; sources and availability of information on roles; responsibilities and current staffing (position descriptions and FTE / OPS counts); and on the best approaches to identify and address cross-divisional interactions for licensing and related revenue management activities.

Additionally, North Highland collected and, throughout the project implementation will be tracking, information about current and planned changes to the organization; evolving employee roles and customer needs; and ongoing and upcoming functional integration of activities across the department.

#### Inputs:

- Organization charts and other background documentation provided by FDACS.
- Impromptu reports and other extracts from the DMS PeopleFirst system to provide information on total numbers of FTE and OPS staff within the department.
- Validation by divisional stakeholders on the total number of positions involved in regulatory lifecycle, revenue collection / processing / refunds, mailroom and IT-related activities.
- Position descriptions for a representative set of regulatory related roles representing all position types in DOL, the Revenue Processing and Mailroom Sections in DOA and a sample of roles from across the wider enterprise.
- Meetings / calls with leadership from:



- › Senior leadership in DOL, DOA and the Division of Consumer Services (DCS)
  - › Division Directors and Assistant Directors for all impacted divisions
  - › Employee Relations, Bureau of Personnel Management (BPM)
  - › Training and Development
- Metrics from divisions
  - Input from other workstreams (Business Process Reengineering, Systems and Data).
  - Stakeholder lists from the OCM workstream.
  - North Highland experience with technology-driven workforce transformation.
  - Current and in-depth knowledge of the State of Florida and its agencies.
  - Methodology and management implementation best practices.

### Outputs:

- RLMS Workforce Vision and Guiding Principles.
- RLMS Enterprise Functional Capabilities Model (EFCM).
- Current state assessment and supporting documentation.
- Findings and Recommendations.
- A “live” toolkit of documents to be kept up to date throughout the project (EFCM, people impacted by the analysis, shifting distribution of activities).

The related OCM workstream covers the Stakeholder Engagement (process, analysis and findings) implications of the Workforce Transition workstream.

## 2.2 ASSUMPTIONS

Assumptions for the analysis are:

- The deliverable captures **high-level** workforce-related observations on the impact of RLMS on knowledge, capabilities, gaps and training and organizational requirements to advance the department’s ability to meet its future licensing and revenue collection and processing needs.
- There is **widespread support** at the highest levels of responsibility in the department for the vision guiding this effort and for implementing the changes this analysis drives to achieve quality, consistency and expediency goals in regulatory services.
- Information about impacted positions (and particularly with regard to OPS positions, where there are frequent changes in numbers) is based on the information and responses from divisional leadership.



- The assessment is based on a representative spectrum of regulatory related positions across FDACS, and these findings can be applied to all positions that **primarily perform regulatory activities**.
- All organizational changes **currently being undertaken** by the department will be completed prior to the finalization of the findings in this document or be otherwise noted.
- Comments about workload distributions, competencies and capabilities (current and needed) are **directional** only and may require further assessment for role-by-role implementation, which will be addressed in subsequent deliverables in this workstream.
- Positions and activities in DOA are currently out of scope for this deliverable except for those responsible for performing **revenue collection, processing, disbursing refunds** and **mailroom** tasks in relation to regulatory activities.
- The analysis does not address individual stakeholders, processes, or handoffs (these are presented in other RLMS workstreams) and maintains a high level perspective on key workforce transition **dimensions**.
- While the basis for this analysis is a “point in time” snapshot of DOL and the department, specific elements and documents included here will be updated throughout the **life of the project**.
- Anticipated enhanced efficiencies and higher productivity levels achieved with the Future Operating Model for RLMS are not projected to result in **loss of positions** (except through natural attrition), but that capacity will be deployed to meet future need.
- Organizational Design, Training and Development and Best Practices / Governance Themes identified in Section 6 are **forward looking opportunities** that will require specific management mandates, scope definition and implementation plans.





SECTION 3 FUTURE OPERATING MODEL AND WORKFORCE VISION

3.1 RLMS STRATEGY ARTICULATION MAP

The Exhibit below shows the RLMS Strategy Articulation Map with the overall alignment (or articulation) of the RLMS project to the department's mission in adhering to the relevant Articles of the Florida Constitution and Florida Statutes and the overall vision and goals for the project. The Strategy Articulation Map was developed in the previous feasibility study phase in September 2014. Attachment I: RLMS Strategy Articulation Map Presentation (additionally provides more detailed descriptions of each goal and the associated expected business value when each goal is achieved.



Exhibit 2: RLMS Overarching Strategy Map

Workforce Transition is a critical enabler of Goals 1-3 and is supported by Goal 4 as outlined below:

- Goal 1: Enhance the customer experience in all interactions both with and within the department. Having a workforce with the right skills and capabilities to



meet customer, consumer, and stakeholder needs that is aligned, well trained, and works as part of 'One Team'.

- **Goal 2: Optimize protection of the public and agricultural industry through enhanced monitoring and compliance information and techniques.** Through developing a consistent approach to compliance, investigation and enforcement, as well as ensuring the workforce has the necessary capabilities to develop useful insights from the RLMS system data and reporting.
- **Goal 3: Enable an enterprise customer service operation.** There is an opportunity through workforce transition to look at the consolidation of common functions or offer these as shared services from centers of excellence within divisions.
- **Goal 4: Leverage a modern enterprise solution to improve the ability to recognize and respond to opportunities and issues.** Through use of business rules, automated workflow, more reliable data, mobile solutions, and self-service portals, the workforce will be able to carry out their duties in a more consistent manner with the capacity to deliver better service.

Furthermore, the WTA is supported and guided by the RLMS EFCM and the Workforce Vision and Guiding Principles presented in Section 3.3.

### 3.2 RLMS FUTURE OPERATING MODEL

A Future Operating Model is a conceptual way of describing how work will get done in the future through the implementation of organization structures; roles and responsibilities; processes and procedures; and systems and data. This is typically supported by the metrics and measures that can be used to describe what success looks like and can be used to track the transition from the current to the future state.

The development of a high-level Future Operating Model for regulatory lifecycle activities of the department as part of the RLMS project is a valuable tool in order to:

- Provide clarity on the desired end state that is being enabled through the RLMS project.
- Establish common baseline and understanding among people who are involved in and impacted by the RLMS project that can be used throughout the duration of the project.
- Describe the transition from the current state to the desired end state. The desired end state will be referred to and evolved throughout the process.

#### 3.2.1 THE REGULATORY LIFECYCLE

A key aspect to describing the Future Operating Model is to have a clear and consistent definition of what is contained within the end-to-end regulatory lifecycle for FDACS. Working



with key stakeholders from across divisions, North Highland has developed and validated definitions for each phase of the regulatory lifecycle which are shown below:

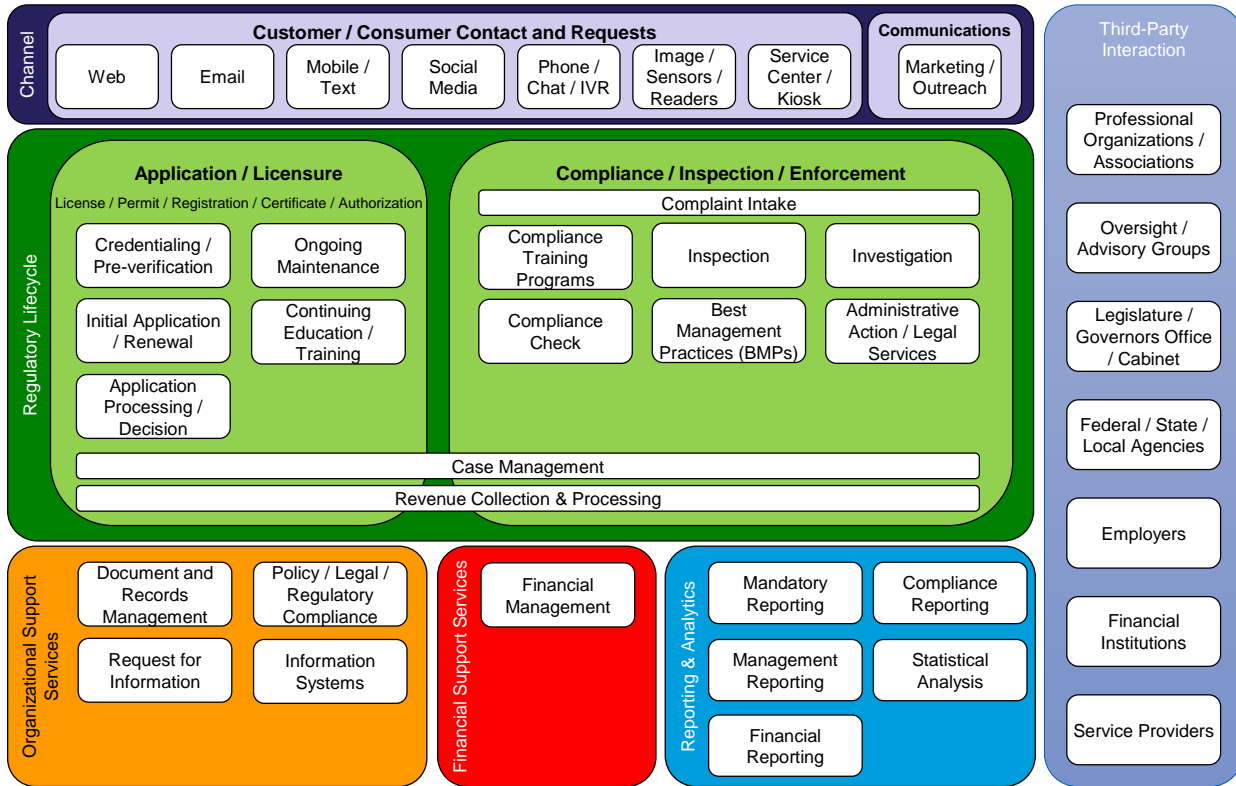
- **Application** – the submission of any official document required by law or rule (to include an application / renewal form or a business registration filing and all supporting documentation) by a business or individual seeking to perform an action or conduct an activity.
- **Licensure** – broadly conceived to encompass various administrative governmental activities (the issuance, denial, renewal or maintenance of a license, permit, certificate, or the processing of a business registration) enabling and authorizing a business or individual entity to perform an action or conduct an activity.
- **Compliance** – the due diligence of businesses and individuals licensed by, or registered with, the department to remain in compliance through adhering to best practices, prescribed rules and regulations, and legal or technical standards.
- **Inspection** – any evaluative processes performed by the department (involving observation, examination, measurement, testing, and other means of systematic review and analysis) to ensure that businesses and individuals licensed, permitted, registered by or otherwise subject to inspection by the department are in compliance.
- **Enforcement** – the various means available to the department – often punitive in nature, involving disciplinary action to include the suspension / revocation of a license or permit, the levying of administrative fines, or criminal prosecution – when an inspection or investigation (any inquiry undertaken by the department by investigative staff to determine whether violations of regulatory law occurred or are occurring) by the department determines that a business or individual has failed to comply with prescribed rules and regulations.

### **3.2.2 THE RLMS ENTERPRISE FUNCTIONAL CAPABILITIES MODEL**

One key component part of the RLMS Future Operating Model is the definition of a common RLMS Enterprise Functional Capabilities Model (EFCM) which gives a single, consistent, conceptual view across the dimensions of process, people, and data/systems, for the enterprise, and is designed to be a useful communication mechanism to describe the future state in a single diagram. The EFCM is shown in the Exhibit below, and builds off the model developed as part of the previous RLMS feasibility study and referred to in the Schedule IV-B submission.

The EFCM was also developed for communication with both internal and external stakeholders, as well as potential RLMS software vendors and system integrators (SIs) who will be aligning the RLMS to the regulatory lifecycle phases as depicted in this model.

The RLMS EFCM is not specific for an individual division or office and is designed around the overarching regulatory lifecycle activities (and underlying processes) that the department undertakes as described in the previous section – along with the channels by which it interacts with its customers and third parties.



### Exhibit 3: FDACS RLMS Enterprise Functional Capabilities Model (EFCM)

The core elements of the EFCM are defined as follows:

- **Channel** – the different mechanisms by which customers, consumers and other stakeholders can interact and communicate with the department.
- **Regulatory Lifecycle** – the operational components of regulatory activities including Application, Licensure, Compliance, Inspection and Enforcement.
- **Organizational Support Services** – all processes, policies and systems that support overall regulatory lifecycle activities.
- **Finance Support Services** – all aspects of Financial Management for the department.
- **Reporting and Analytics** – encompassing all required types of information, reporting and analysis needed by the department.
- **Third-Party Interactions** – entities that provide or receive information or services from the department or have an oversight role.



### 3.2.3 RLMS EFCM ELEMENTS DESCRIPTIONS

The exhibit below provides a description of each element of the RLMS EFCM for context and completeness.

AREA	NAME	DEFINITION
Channel	Web	Any interaction through the FDACS or FDACS linked website
	Email	All email traffic to / from individuals and businesses
	Mobile / Text	All inbound / outbound interactions through text messaging and website through mobile devices
	Social Media	All interactions with FDACS through social media channels (e.g., Twitter, Facebook, LinkedIn)
	Phone / Chat / Interactive Voice Response (IVR)	All interactions through call centers and live chat sessions with FDACS customer service reps
	Image / Sensors / Readers	Inbound scanning and imaging capabilities (both internal and external)
	Service Center / Kiosk	Interaction through a local point of contact (e.g., Fast Track at regional offices or tax collector locations)
	Marketing / Outreach	All outbound marketing and external communications to stakeholders and impacted parties
Application and Licensure  <i>Encompasses and refers to licenses, permits, registrations, certificates and authorizations</i>	Credentialing / Pre-Verification	Checklists and other tools to support prerequisites for any license, permits, registrations, certificates and authorizations
	Initial Application	The process and systems by which a new application is received and processed (by channel)
	Application Processing / Decision	All verification and required cross checks to issue a license
	Ongoing Maintenance	Any updates that a customer needs to make to a license based on changes in status, address, etc.
	Renewal	The process by which a license is renewed
	Education / Training	Professional or technical education and training required to acquire / maintain a license
Compliance / Inspection / Enforcement	Compliance Training Programs	Classes, workshops, and other educational opportunities intended to ensure compliance with legal requirements and adherence to best management practices
	Inspection	Routine scheduled visits to licensed businesses, work locations, or processing/production facilities, for purposes of observation, business review, sample collection/testing, etc., to ensure compliance with rules and regulations and/or adherence to best management practices
	Compliance Check	Similar to inspections in their intent, compliance checks usually involve unannounced visits to a particular work location / site or call to a business entity. These checks may be reactive (i.e., in response to a consumer complaint), or proactive as part of the department's ongoing compliance initiatives



AREA	NAME	DEFINITION
	Best Management Practices (BMP)	Methods or techniques found to be the most effective and practical means in achieving an objective (such as preventing or minimizing infections) while making the optimum use of the organization's resources
	Complaint Intake	Process of recording complaints against regulated individuals or businesses
	Investigation	The process of undertaking investigative activities as a result of inspections, complaints or other triggers
	Administrative Actions / Legal Services	Covering all aspects of enforcement that are taken against non-compliant individuals or organizations, including issuance of restrictions and / or fines in accordance with Chapter 120, Florida Statutes
Regulatory Operations (end-to-end)	Case Management	The overall tools, process and workflow for handling all customer interactions, across the regulatory lifecycle, including assignments, routing, decisions and approvals
	Revenue Collection and Processing	All aspects of revenue collection for new and renewal applications as well as enforcement fines and penalties across both Application / Licensure and Compliance / Inspection / Enforcement areas
Organizational Support Services	Information Systems	Includes all infrastructure, internal IT applications, intranet, productivity and other technology supported by OATS or by divisions
	Document and Records Management	All aspects of cradle-to-grave management of electronic documents through their lifecycle
	Policy / Legal / Regulatory Compliance	Ensuring overall department compliance with all statutorily mandated regulations (at state and federal levels)
	Request for Information	Any public information request or public records request received by the department related to regulatory or licensing activities overseen by the department
Finance and Accounting	Financial Management	All standard finance functions and processes used by FDACS (incl. GL, AR, AP and budgeting), also will include interface with FLAIR / PALM. Also includes revenue reconciliation activities
Reporting and Analytics	Statutory Reporting	All federally and legislatively mandated reporting
	Management Reporting	All aspects of reporting to enable effective management of the FDACS
	Financial Reporting	All required reporting related to financial activities
	Compliance Reporting	Reporting on the result of whether compliance was achieved
	Statistical Analysis	Trend analysis and other data analytic tools and processes on the data from the department
	Consumers	Any individual who is requesting a service from FDACS



AREA	NAME	DEFINITION
Third-Party Interactions	Professional Organizations / Associations	Any professional body, board, or association representing individuals or businesses licensed and regulated by the department with which the department has regular contact (e.g., NRA)
	Oversight / Advisory Groups	Any panel, board, or council that that advises and assists the department in carrying out its statutory duties (e.g., the Private Investigation, Recovery, and Security Advisory Council for 493 regulation)
	Legislature / Governor's Office / Cabinet	All interactions required with the Legislature, Florida Cabinet and Governor's Office
	Federal / State / Local Agencies	Other agencies that FDACS interacts with to get work done, or needs to provide information to, including law enforcement agencies
	Employers	Employers and businesses who may make use of regulated personnel or are licensed
	Financial Institutions	Banking and other financial institutions that either provide a service or verifications to FDACS
	Service Providers	Includes entities such as tax collectors' offices, as well as those delivering contracted services on behalf of the department

**Exhibit 4: Inventory of Functional Capability Model Elements**

**3.3 WORKFORCE VISION AND GUIDING PRINCIPLES**

Collaborating with key stakeholders from DOL, DOA and the DCS, the North Highland team developed and articulated the future vision for the workforce who will be using the RLMS to deliver regulatory lifecycle activities (supported by Guiding Principles). The purpose of developing this model is to establish an overarching direction for the Workforce Transition workstream, and will be used as a key communication tool with the people who are impacted by the RLMS project. The Exhibit below outlines the agreed RLMS Future Workforce Vision and Guiding Principles.



# RLMS FUTURE WORKFORCE VISION

Empower the regulatory workforce to support the department's mission by enabling a culture of service; leveraging efficiencies through the use of consistent approaches and processes

## GUIDING PRINCIPLES

Consistent ways of working with clarity on roles, responsibilities and handoffs

A competency-based model to support career paths across the department

### Exhibit 5: RLMS Future Workforce Vision & Guiding Principles Linked to FDACS Values

The **Guiding Principles** focused the analysis on meeting specific goals and outcomes consistent with achieving the RLMS Future Workforce Vision. These are conceptual and it is understood that the department will need to determine what components, when and how to implement these principles within the wider context of the ongoing FDACS workforce development.

**Consistent ways of working** with clarity on roles, responsibilities and handoffs:

Consistency is a necessary condition to achieve efficiencies in processes and to maximize the opportunities for seamless customer interactions and experiences. Department leadership recognizes that, currently, some roles and responsibilities are performed in siloes and that handoffs are often unclear or ad hoc, affecting workflows.

A **competency-based model** to support career paths across the department:

The focal point for driving alignment to achieve the goals of the RLMS Future Workforce Vision is competencies. There are three key dimensions to competencies that are critical in any workforce transformation effort:

1. Assessing and ensuring that employees have the necessary skills to meet the needs of the customer and the organization





2. Defining and providing any needed training and coaching to meet the desired competency thresholds
3. Ensuring that competency mastery is clearly mapped to career development and opportunities for employees

**Co-delivery and consolidation of services**, where appropriate:

The department is fully committed to this principle and has already undertaken the journey towards achieving shared and consolidated services (the movement of investigators to AgLaw, for instance). This principle is firmly embedded in the recognition that, as a state agency, the department is accountable for, and ever mindful of, the dimensions of service (to constituencies) and stewardship (of funds and resources).

**Coordinated regulatory activities** to minimize impact on customer entities:

As regulatory mandates and related compliance and governance requirements proliferate and become more complex, the goal of the department should be to continue to examine these mandates and requirements in order to reduce the level of the burden imposed on its customers. The ultimate goal of this ongoing examination will be to eliminate any unnecessary regulatory activities and to refine and improve those necessary regulatory activities in order to deliver a maximum level of convenience and satisfaction to customers.

**Continuous learning and feedback** from ongoing organizational transformation initiatives:

Current organizational changes have already informed the department's leadership of the value of learning from system-driven transformation experiences. It is a goal of this work-stream to incorporate any learning opportunities and findings from other FDACS initiatives during the transformation journey.

Increased **employee satisfaction** through a focus on value-added activities and outcomes:

This Guiding Principle is an acknowledgment by the organization that sustainable transformation success hinges on people and their presence, commitment and pride in the service they perform. Hence, this project (with the guidance of department leadership) aims at meeting the desire of employees to be recognized for outcomes, valued, and engaged in activities that best leverage their abilities and competencies.

**Minimized change impact** on personnel through communication, phasing and feedback:

Related to the employee satisfaction concepts above, the department's leadership is committed to facilitating the change journey through openness and disclosure. Feedback from those performing the work is a vital component to minimizing the effects and demands of change on the organization. The OCM workstream identifies the significance of the change impact on the organization and delivers a toolkit for successful transformation.

Organizational structures and capabilities **aligned to changing business needs**:



The regulatory portfolio that the department manages will change over time, as driven by legislative and other factors. Therefore, it is recognized that any organizational structures and workforce capabilities will need to evolve and adapt accordingly.



## SECTION 4 REVIEW OF THE CURRENT OPERATING MODEL

### 4.1 REGULATORY ORGANIZATIONAL CONTEXT

The divisions and offices currently supporting the regulatory lifecycle and the larger, enterprise context are depicted, in summary view, in the Exhibit below. This organizational chart highlights in green those bureaus and work units within FDACS as well as government offices external to the department that are undertaking regulatory lifecycle activities as defined in Section 3.2.1, and will therefore be impacted by the implementation of RLMS. The areas in scope for RLMS Release 1 are shown with a red outline. A standalone version of this organizational chart is referenced, and available in [Attachment II: FDACS Organization Chart](#), for ease of review.

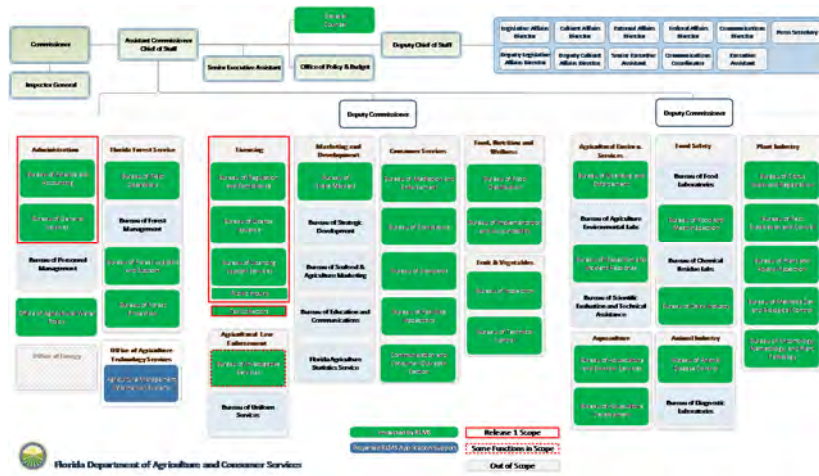


Exhibit 6: Agency Organizational Chart and Current Scope

### 4.2 RLMS IMPACTED POSITION ANALYSIS

There are over 3600 FTE within the department and several hundred OPS staff. More than 1650 positions (1414 FTE and 265 OPS) have been identified as likely to be impacted by the rollout of RLMS, as shown in the summary Exhibits below. These positions were identified and categorized based on position titles and the sections, bureaus, and divisions within the department to which these positions are assigned, including leadership positions that will be indirectly impacted by RLMS. In addition, the positions were reviewed to determine if they are performing regulatory lifecycle, revenue collection and processing or IT-related activities that might be impacted by RLMS.



Division	Y	IT	RP	N	OOS	Total (FTE)
<b>DIVISION OF LICENSING (R1)</b>	219	13	7			239
<b>DIVISION OF ADMINISTRATION (R1)</b>	4	5	18	94		121
<b>OFFICE OF AGRICULTURAL LAW ENFORCEMENT (R1)</b>	27	3		256		286
DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES	113	5		66		184
DIVISION OF ANIMAL INDUSTRY	70	3		42		115
DIVISION OF AQUACULTURE	21	2		21		44
DIVISION OF CONSUMER SERVICES	276	9				285
DIVISION OF FOOD SAFETY	207	12		81		300
DIVISION OF FOOD, NUTRITION & WELLNESS	23	2		58		83
DIVISION OF FRUIT AND VEGETABLES	47	5	13	14	31	110
DIVISION OF MARKETING AND DEVELOPMENT	9	2		121		132
DIVISION OF PLANT INDUSTRY	260	9	6	93		368
FLORIDA FOREST SERVICE	93	16	6	1064		1179
OFFICE OF AGRICULTURAL WATER POLICY	27	3		11		41
GENERAL COUNSEL / LEGAL / IG	18			12		30
OTHER OFFICE OF COMMISSIONER				47		47
OFFICE OF AGRICULTURE TECHNOLOGY SVCS		52				52
<b>Total</b>	<b>1414</b>	<b>141</b>	<b>50</b>	<b>1980</b>	<b>31</b>	<b>3616</b>

Division	Y	IT	RP	N	OOS	Total (OPS)
<b>DIVISION OF LICENSING (R1)</b>	26					26
<b>DIVISION OF ADMINISTRATION (R1)</b>	2			25		27
<b>OFFICE OF AGRICULTURAL LAW ENFORCEMENT (R1)</b>				3		3
DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES	7			7		14
DIVISION OF ANIMAL INDUSTRY	8			4		12
DIVISION OF AQUACULTURE				1		1
DIVISION OF CONSUMER SERVICES	10					10
DIVISION OF FOOD SAFETY	14			9		23
DIVISION OF FOOD, NUTRITION & WELLNESS				17		17
DIVISION OF FRUIT AND VEGETABLES	49			2	256	307
DIVISION OF MARKETING AND DEVELOPMENT	2			29		31
DIVISION OF PLANT INDUSTRY	141			150		291
FLORIDA FOREST SERVICE				169		169
OFFICE OF AGRICULTURAL WATER POLICY						0
GENERAL COUNSEL / LEGAL / IG	6					6
OTHER OFFICE OF COMMISSIONER				16		16
OFFICE OF AGRICULTURE TECHNOLOGY SVCS		9				9
<b>Total</b>	<b>265</b>	<b>9</b>	<b>0</b>	<b>432</b>	<b>256</b>	<b>962</b>

- Key**
- Y**  Positions performing regulatory lifecycle activities
  - IT**  Positions involved in IT-related activities
  - RP**  Positions involved in revenue collection and processing activities
  - N**  Positions that have no involvement in the regulatory lifecycle
  - OOS**  Positions performing regulatory lifecycle activities out of scope of the RLMS project

### Exhibit 7: Summary of Total of Impacted Positions across FDACS (FTE / OPS)



The figures shown above were identified through the Workforce Transition information request to FDACS divisional leadership in order to validate data provided by the Bureau of Personnel Management (BPM) in October 2015. Consequently this does not reflect all of the department's recent organizational changes (such as DOL Investigators moving to AgLaw). Additionally, the numbers of OPS staff impacted may be reduced due to funding changes.

In the process of calculating the total number of impacted positions across the department, North Highland noticed that these are distributed across a large number of different position class titles / codes performing regulatory lifecycle activities. For example, many position titles have three or fewer positions associated with them highlighting the opportunity to reduce this fragmentation and improve common definition of regulatory lifecycle-related roles through the RLMS project and BPM initiative on position description harmonization. This is important because RLMS will support consistent language and ways of working across the regulatory lifecycle. It is understood that the feasibility of changes to class titles will be dependent on external factors, such as collective bargaining and general budgetary issues.

Further analysis of the data collected is shown in the Exhibit below, and also is available in [Attachment III: FDACS Impacted Position Analysis](#). Some examples of fragmentation are captured in the points below:

- There are 166 distinct class titles for the 1414 impacted FTEs performing regulatory lifecycle roles, with 100 of these class titles having three or fewer positions associated with them.
- Eight of the divisions / offices listed have at least 50% of their regulatory lifecycle class titles are associated with only one position.
- All of the impacted divisions / offices, shown in the Exhibit below, have at least 50% regulatory lifecycle class titles associated with fewer than three positions – and several have more than 70%.
- The following divisions have more than 25 class titles across their impacted FTEs
  - › Food Safety (27)
  - › Licensing (32)
  - › Plant Industry (47)
  - › Consumer Services (49)
- The proliferation of distinct class titles does not appear to be related to the number of resources or the specific type of regulatory activity performed by a division or office.



	Total FTEs	Distinct class titles Total	Class titles with only 1 position		Class titles with less than 3 positions	
<b>Regulatory Lifecycle</b>	<b>Total Impacted:</b>					
DIVISION OF LICENSING	219	32	17	53%	13	76%
DIVISION OF ADMINISTRATION (Mailroom Intake)	4	1	0	N/A	0	N/A
DIVISION OF AGRICULTURAL ENVIRONMENTAL SERVICES	113	23	13	57%	16	70%
DIVISION OF ANIMAL INDUSTRY	70	15	5	33%	9	60%
DIVISION OF AQUACULTURE	21	12	8	67%	11	92%
DIVISION OF CONSUMER SERVICES	276	49	26	53%	34	69%
DIVISION OF FOOD SAFETY	207	27	10	37%	16	59%
DIVISION OF FOOD, NUTRITION & WELLNESS	23	6	2	33%	4	67%
DIVISION OF FRUIT AND VEGETABLES	47	8	4	50%	5	63%
DIVISION OF MARKETING AND DEVELOPMENT	9	7	4	57%	7	100%
DIVISION OF PLANT INDUSTRY	260	47	20	43%	32	68%
FLORIDA FOREST SERVICE	93	6	3	50%	3	50%
OFFICE OF AGRICULTURAL LAW ENFORCEMENT	27	7	4	57%	5	71%
OFFICE OF AGRICULTURAL WATER POLICY	27	9	1	11%	8	89%
GENERAL COUNSEL / LEGAL / IG	18	8	6	75%	7	88%
<b>Total for the DEPARTMENT (Regulatory Lifecycle)</b>	<b>1414</b>	<b>166</b>	<b>74</b>	<b>45%</b>	<b>103</b>	<b>62%</b>
<b>IT (Total for the Department)</b>	<b>141</b>	<b>45</b>	<b>22</b>	<b>49%</b>	<b>34</b>	<b>76%</b>
REVENUE COLLECTION & PROCESSING	50	9	7	78%	9	100%

### Exhibit 8: Summary Analysis by Impacted Position / Class Code

The underlying data is available in the 'Class Title Analysis' tab of [Attachment III: FDACS Impacted Position Analysis](#).

## 4.3 KEY IMPACTED DIVISIONS – CONTEXT AND OPERATING MODELS

### Division of Licensing (Release 1)

DOL oversees two licensing programs, one involving regulatory oversight and professional regulation, the other involving personal safety and self-protection.

Under the authority of Chapter 493, F.S., the division licenses and regulates both individuals and agencies in the private investigative, recovery, and security professions in Florida. The licensees who work in these regulated professions serve in positions of public trust. Therefore, it is in the public interest that individuals seeking employment as private investigators, recovery agents, or security officers be properly trained, have ongoing continuing education, and undergo criminal history background checks prior to licensure, and that the business practices of the agencies in these industries be consistent with the public good. The division's licensing and regulatory controls provide for ongoing compliance by individuals and agencies in the regulated professions.



Under the authority of Section 790.06, F.S., the division issues concealed weapon licenses to qualified, law-abiding citizens who wish to carry concealed weapons for purposes of lawful self-defense.

These programs are fundamentally different in their function and in the constituencies they serve. However, the various licensing controls and regulatory mechanisms that support both of these programs – fingerprint-based background checks; verification of experience, training, citizenship status, and other eligibility criteria; and the ongoing review of criminal history records to confirm continued eligibility – ensure that only properly trained, knowledgeable, qualified, and law-abiding persons are licensed to work in the regulated industries or to carry concealed weapons. These programs thus promote the public interest and general welfare by enhancing public safety.

The division's workforce currently consists of 239 full-time employees across 32 distinct position classification titles (including the 22 positions undertaking Investigatory activities transferred to AgLaw, but still funded by the division) and it is anticipated that all these employees will be affected by the implementation of the RLMS.. The business processes and operating functions that take place within the division are functionally and programmatically divided between three different bureaus and the division Director's Office as described below:

- The Bureau of Support Services (BSS) is responsible for paper application intake services. These include mail processing, scanning / digitizing paper documents, and image quality control and validation. The bureau also houses the application support and development functions for the regulatory systems that DOL uses (Oracle Imaging and Process Management, License Manager, and Reflections).
- The primary function of the Bureau of License Issuance (BLI) is to make a determination of eligibility for every applicant submitting a complete application for licensure to the division. This determination is made based on a review of the application, training documentation, criminal history background check results, and all other supporting documentation required by law. Employees in this bureau are empowered with the authority to deny an application for licensure if the applicant fails to meet the minimum requirements for licensure or to suspend the processing of a concealed weapon or firearm application if it is determined that additional criminal history record information is needed to make a determination of eligibility. The Bureau of License Issuance is also responsible for the day-to-day operation of eight regional offices located throughout the state. These offices offer full-service application intake services for both of licensing's programs administered by the division, including the increasingly popular Fast-Track concealed weapon license application service.
- The Bureau of Regulation and Enforcement (BRE) contains the division's legal and enforcement compliance work units. Attorneys and administrative staff in this bureau are responsible for taking action against licensees for violations of the law and against individuals and businesses performing private investigative, security, and recovery services without proper licensure. These actions include the issuance of Administrative Complaints, license suspensions and Agency Final Orders. Administrative Complaints and Agency Final Orders may impose



disciplinary actions seeking fines or revocation in Chapter 493, F.S., cases or revocation in Chapter 790, F.S., cases. Employees in this bureau also perform routine review of weekly and monthly reports furnished to the division by state law enforcement agencies. The reports include DUI arrests, issuance of domestic violence injunctions by Florida courts, incarceration reports, and adjudications of mental incompetence by Florida courts. In addition, correspondence is received from other local, state and federal agencies within or without Florida. The BRE takes action against a license holder if it is determined, based on a review of these reports and correspondence, that the license holder's eligibility for licensure has been compromised. Employees in this section are also responsible for conducting proactive compliance checks of recently expired Chapter 493, F.S., licensees to determine if unlicensed activity is occurring.

DOL's Director Office houses a number of subsidiary functions central to the division's operation:

- The Fiscal Processing / Budget Section, which is responsible for processing all fee and fine payments and for maintaining administrative control of the division's budget.
- The Quality Control Unit, which conducts reviews at the division Director's guidance of any of the division's work units business processes conducted in those work units. QC Unit findings are used to recommend improvements to the director.
- The Public Inquiry Section, which interacts with customers via telephone and live chat in responding to inquiries concerning application status and various other licensing-related matters. The division's Public Records Liaisons, who are responsible for responding to public records requests and to media inquiries are located in this section as well. This is part of the ongoing BLI reorganization.

There have been two relatively recent changes – one involving a legislative change to make concealed weapon license application more convenient and the other involving an internal reorganization and realignment of business functions. Both changes must be considered in order to understand the division's current business practices and organizational structure.

The Legislature passed a bill during the 2014 session that authorized DOL to enter into agreements with constitutionally elected tax collectors throughout the state to allow the tax collectors to accept concealed weapon license applications on behalf of the division. This new service was implemented in the first five tax collectors' offices in September and October of 2014. As of November 2015, the number of county tax collectors participating in this program has increased to 19. The division anticipates that approximately 40 tax collectors' offices will be accepting new and renewal concealed weapon license applications by the end of calendar year 2018. This program will significantly enhance the level of service and convenience for citizens seeking concealed weapon license application services.

BRE is currently involved in a significant reorganization in which the functional duties and responsibilities traditionally performed by BRE were reassigned to another division within the department. This reorganization also resulted in a significant change in the organizational





structure of the division. The reorganization involved the transfer of 22 field investigators in BRE to AgLaw, the professional law enforcement services work unit within the department. This reorganization is consistent with earlier division realignments that resulted in investigative staff being reassigned from DCS to AgLaw, thus making the law enforcement services group within the department responsible for all departmental investigative functions. This reorganization and realignment of functional duties allowed division management to make a crucial organizational change within the division. The reassignment of the field investigators, who historically have been housed in the division's regional offices located throughout the state, means that the regional offices no longer have an investigative role in the mission of the division. Nonetheless, these offices still perform a vital function in providing customer service and application processing in addition to accepting complaints from citizens and licensees. The regional offices are being relocated within the division's organizational structure to be a part of the Bureau of License Issuance as the primary function of the offices involves license application intake. Management is also reclassifying many of the positions throughout the BLI work unit to reflect the commonality of the central license issuance function of the bureau throughout the many offices where these positions are assigned. The legacy position title of "Corporate Document / Election Records Examiner" is being reclassified to the more functionally accurate "Compliance Officer I" position title. The supervisory positions responsible for the running of each of the regional offices are also being reclassified to "Compliance Officer Supervisor – SES" to reflect their changing duties as they are no longer responsible for regulatory enforcement functions.

The Exhibit below provides a snapshot of some of the key regulatory lifecycle metrics for DOL, the target of the first release of RLMS. These volumes represent the potential for measurable outcomes the department can affect by implementing the RLMS system and processes to achieve the efficiency and service results sought by the department.



LICENSE TYPE	# NEW APPLICATIONS (ANNUAL)	# RENEWALS (ANNUAL)	# ACTIVE LICENSES PERMITS
C Private Investigators	1,829	2,465	7,953
CC Private Investigator Interns	360	486	1,567
A Private Investigative Agencies			2,844
AA Private Investigative Agency Branch Offices			22
MA Private Investigative Agency Managers	19	25	81
M Private Investigative / Security Agency Managers	117	157	507
D Security Officers	31,912	43,012	138,748
B Security Agencies			1,438
BB Security Agency Branch Offices			197
MB Security Managers	354	476	1,537
AB Security Agency / Private Investigative Agency Branch Offices			22
DS Security Officer Schools			371
DI Security Officer Instructors	365	492	1,587
G Statewide Firearm Licenses			20,873
K Firearms Instructor	144	193	624
E Recovery Agents	204	274	885
EE Recovery Agent Interns	84	114	367
R Recovery Agencies			329
RR Recovery Agency Branch Offices			28
MR Recovery Agency Managers	2	2	7
RS Recovery Agent School			4
RI Recovery Agent Instructor	3	4	12
W Concealed Weapon	134,291	450,974	1,454,754
WJ Concealed Weapon Judges	147	199	641
WR Concealed Weapon Law Enforcement and Correctional Officers	2,193	2,956	9,535
WS Concealed Weapon Consular Security Official	3	4	12

**Exhibit 9: DOL Regulatory Lifecycle Volumes**

**Division of Administration (Release 1 and Future Releases)**

DOA provides support functions to the entire department, including Finance and Accounting, Personnel Management and General Services (including building maintenance, mailroom and purchasing). DOA has a relatively small number of staff that are going to be directly impacted through the implementation of RLMS, with only the 13 staff from the Revenue Processing Section, the six staff in the Mayo mailroom and those staff that are involved in the revenue



reconciliation and disbursement processes who have activities directly related to the regulatory lifecycle. The Revenue Processing Section is responsible for the intake and processing of payments for divisions other than Licensing, Fruit and Vegetable, and Plant Industry. The division also manages all online payments and the direct interaction with FDACS' banking services provider. The exact level of impact on DOA during RLMS Release 1 is likely to be dependent on policy decisions and organizational changes linked to the services that DOA provides to DOL (e.g. if mailroom consolidation is enacted). In future releases, it is anticipated that the division will be using the revenue collection and processing functionality of RLMS to complete their part of the Application, Licensure and Enforcement activities.

### **Office of Agricultural Law Enforcement (Release 1 and Future Releases)**

The Regulatory Investigations Section within the Bureau of Investigative Services in AgLaw now has the responsibility to conduct all regulatory investigations on behalf of DCS and DOL (following the recent reorganization projected completed in November 2015). The intent is to bring the two pools of regulatory investigative staff together, thus creating a larger pool of multi-skilled investigators to be deployed in each region. The two teams are currently operating separately as the transition matures, but it is anticipated that by the time of the initial RLMS rollout they will be operating as a combined team of 45, which means the entirety of the Regulatory Investigations Section will be impacted by the Release 1 rollout of RLMS functionality, as they will be using the system to support all DOL.

### **Division of Consumer Services (Future Release)**

DCS is the primary point of contact with consumers in the state, responsible for providing consumer information and protection. DCS performs its duties through issuance of over 30 types of licenses or permits for: Motor Vehicle Repair Shops; Charitable Organizations; Pawnbrokers; Health Studios; Sellers of Travel; Sellers of Business Opportunities; Intrastate Movers; Professional Surveyors and Mappers; Sweepstakes / Game Promotions; and Telemarketing. Additionally, DCS staff protect consumers through the testing and inspection of a wide range of products, including gasoline, brake fluid, antifreeze, liquefied petroleum gas, amusement rides, and weighing and measuring devices. DCS is responsible for regulating all or part of Chapters 472, 496, 501, 507, 525, 526, 527, 531, 539, 559, 616 and 849, Florida Statutes. DCS has bureaus that are arranged along functional lines that align to separate aspects of the RLMS Functional Capability Model. As in DOL, all staff in DCS will be impacted by RLMS, as the entire division's activity is related to the regulatory lifecycle (287 FTEs and 10 OPS across 49 position classification titles).

The DCS Communications and Outreach Section serves as the primary call center for the department. The call center answers more than 220,000 telephone calls and emails annually. RLMS will impact the call center because the call center utilizes the database to provide registration statuses to business and to record information regarding commonly requested information so that other call center staff can easily locate and share that information with callers. Additionally, the division's A to Z Guide is housed in the database.



## **Division of Agriculture Environmental Services (Future Release)**

Responsibilities of the Division of Agriculture Environmental Services (AES) relating to the regulatory lifecycle include pesticide registration, pesticide use regulation, structural pest control regulation, and feed, seed, and fertilizer registration and inspection. AES assists and protects consumers by managing pesticide, pest control, fertilizer, feed and seed licensees and by limiting products that are unlawful, unsafe or unethical. The division is responsible for enforcing the provisions of all or parts of Chapters 388, 482, 487, 570, 576, 578, and 580, Florida Statutes. There are 22 different position types amongst the 120 positions involved in regulatory lifecycle activity across the Bureau of Licensing and Enforcement and the Bureau of Inspection and Incident Response.

## **Division of Animal Industry (Future Release)**

The Division of Animal Industry (DAI) is responsible for enforcing animal health regulations in Florida and protecting the state from animal pests and diseases, which could have major economic and public health consequences. All staff in the Bureau of Animal Disease Control are involved in regulatory lifecycle activities, carrying out active animal disease prevention, surveillance, and control programs. District veterinarians and animal health inspectors throughout the state work with producers, animal owners, and private veterinarians in monitoring and enhancing the health and welfare of Florida's animals. RLMS will impact all 75 positions across 14 different position titles.

## **Division of Aquaculture (Future Release)**

The Division of Aquaculture (DAQ) is responsible for regulating the cultivation of aquatic organisms and for enforcing Chapter 597, Florida Statutes. RLMS will impact 21 positions across 12 position titles within the division performing regulatory functions, as the system will affect how the division issues and manages over 2500 permits and licenses annually for: Apalachicola Bay Oyster Harvesting Licenses; Shellfish Processing Plant Licenses; Aquaculture Leases; and Aquaculture Certificates. RLMS will also help the division improve its planning and reporting abilities, and will increase the data available for inclusion in the annual Florida Aquaculture Plan prepared by the division.

## **Division of Food Nutrition and Wellness (Future Release)**

The Division of Food Nutrition and Wellness (DFNW) is responsible for the National School Lunch Program, School Breakfast Program, Special Milk Program, Afterschool Snack Program, Summer Food Service Program, Seamless Summer Option Program and Fresh Fruit and Vegetable Program for the State of Florida. The programs within the division are contained in Chapters 570 and 595, Florida Statutes, and FNW performs inspections to ensure compliance with requirements to maintain federal funding of each of the programs. The 23 positions that perform these inspections will use the RLMS to manage and track their activities in the future.



## **Division of Food Safety (Future Release)**

The Division of Food Safety (DFS) is responsible for the safety of the food supply by inspecting, licensing and regulating food production and preparation activities. The division, which issues multiple types of licenses and permits under Chapters 500, 501, 502, 504, 531, 583, 586, 601, Florida Statutes, has 221 positions across 27 position titles involved in performing regulatory functions. As the RLMS will directly affect how this division issues and manages permits and licenses, the system is anticipated to substantially affect all of the division's employees.

## **Division of Fruit and Vegetables (Future Release)**

F&V, headquartered in Bartow, inspects and certifies all fresh shipments of vegetables, fruit and nuts as may be assigned or supported in connection with regulations issued under federal and state marketing orders and / or rules. In support of that goal, licenses for all citrus dealers, registrants, and agents of licensed fruit dealers, packing houses, and processing plants are collected and maintained annually. The division, which issues multiple types of licenses and permits under Chapters 570 and 603, Florida Statutes, has 96 positions across eight position titles involved in performing regulatory functions that will be impacted through implementation of the RLMS. Additionally F&V has 13 positions associated with revenue collection and processing.

In addition, the division inspects all fresh tomato packing houses and farms to ensure compliance with food safety regulations, on behalf of the USDA (out of scope of the RLMS project).

## **Division of Marketing and Development (Future Release)**

The Division of Marketing and Development (DMD) works to promote agricultural products, primarily through the “Fresh From Florida” campaign. The division also performs regulatory functions by issuing County Fair Permits and Farm Winery Certificates, and the eight positions across five position titles issuing these permits and certificates will be impacted by RLMS.

## **Division of Plant Industry (Future Release)**

The Division of Plant Industry (DPI) works to detect, intercept and control plant and honey bee pests that threaten Florida's native and commercially grown plants and agricultural resources. It is currently organized along programmatic areas rather than stages in the regulatory lifecycle, with three main bureaus undertaking regulatory lifecycle Activities: Pest Eradication and Control, Citrus Budwood Registration, and Plant and Apiary Inspection. Of the 260 FTEs involved in the regulatory lifecycle there are 46 different position classifications. There are also a further 140 OPS positions undertaking regulatory activity. The division issues more than 3800 permits annually, and will benefit from the automated workflow and data analytics functionality of RLMS.



### **Florida Forest Service (Future Release)**

The Florida Forest Service's (FFS) key regulatory activity is the issuance of prescribed burn authorization permits, a regulatory function predominately carried out by duty officers from each of the 15 field units throughout the state. Field units are part of the Bureau of Field Operations, and these units receive additional oversight and assistance from the Bureau of Forest Protection located in Tallahassee. The service also certifies Broadcast and Pile Burn Managers. The 93 positions across 6 position classifications involved with issuing the burn authorizations and certifications will be impacted by RLMS.

### **Office of Agricultural Water Policy (Future Release)**

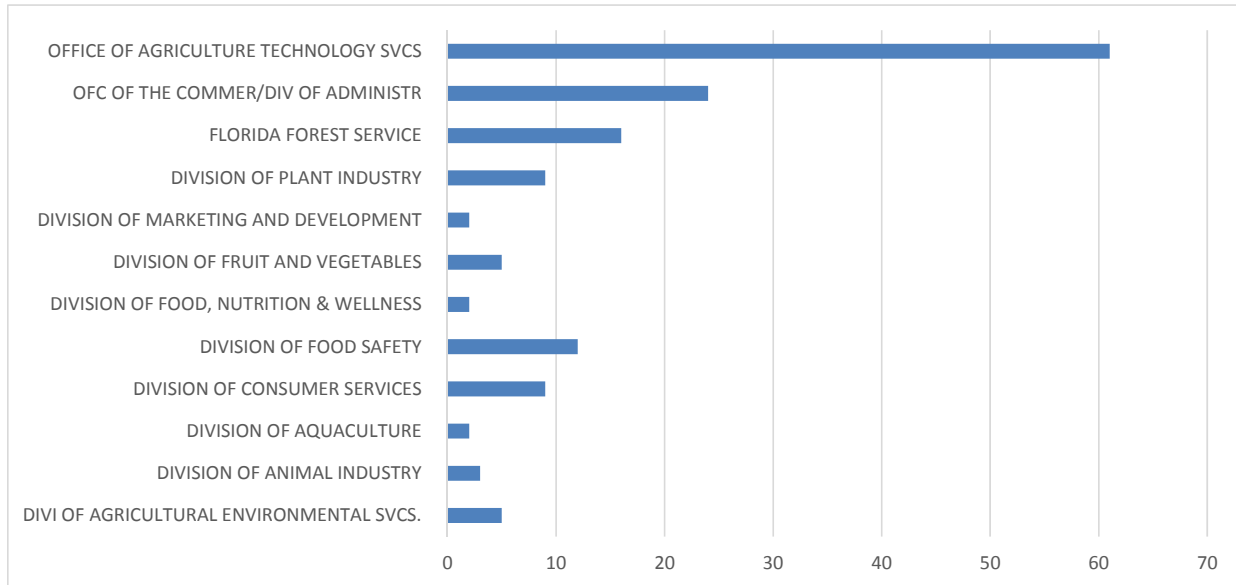
The role of Office of Agricultural Water Policy (OAWP) in the regulatory lifecycle is predominately in compliance activities through active involvement in the development of Best Management Practices (BMPs), addressing both water quality and water conservation on a site specific, regional, and watershed basis. The OAWP works cooperatively with agricultural producers and industry groups, the Florida Department of Environmental Protection, the university system, the Water Management Districts, and other interested parties to develop, implement and track BMP programs that are economically and technically feasible. There are 27 positions across 9 different position classifications involved in managing or reporting on BMPs, which will be impacted by RLMS. There are currently over 3,000 unique agricultural producers being tracked by the OAWP's current system.

### **General Counsel's Office (Future Release)**

The Office of the General Counsel (OGC) represents the Commissioner of Agriculture and Consumer Services in his official capacity as head of the department and as a member of the Florida Cabinet. The 13 attorneys in the OGC also provide legal services to all of the various divisions and offices within the department on a wide-ranging number of topics to include everything from the drafting and enforcement of administrative actions and the issuance of legal opinions to representing the department in litigation and handling state and federal civil administrative appeals.

Insofar as the first release and implementation of the RLMS will involve DOL and parts of DOA, the attorneys in the OGC may not be impacted by the new system. DOL has its own staff attorneys who handle the division's legal business. In future releases of the RLMS, however, the day-to-day duties and responsibilities of the attorneys in the General Counsel's office will change as the new technology is implemented throughout the department. At that time, OGC attorneys will be receiving legal documents and correspondence for review and subsequent action as part of the business rules and workflow processes of the fully operational enterprise system.





**Exhibit 11: IT Staff by Division**

OATS has primary responsibility for IT governance, including the enterprise change control process and the project and portfolio management office. The positioning of OATS has enabled centralized visibility on major programs that are being undertaken by divisions, and coordinated planning and approval. As per the OATS IT Strategic plan from May 2013, there is a desire and plan to evolve a more centralized IT operating model by 2018.

From observations and interviews with OATS and division stakeholders, it appears that there is limited coordination between the individual divisions in terms of currently sharing resources and expertise around application development and ongoing support. This operating model will need to change once the enterprise RLMS is in place, given that without coordination, changes enacted to one aspect of the RLMS could potentially have a deleterious effect or unintended consequences for other users. The proposed high level transition plan for the new IT operating model will be developed in the Workforce Training Plan and Workforce Knowledge, Skills and Abilities (KSA) Transition Plan (Deliverable 5B-C).

The details of the systems being used by each individual department are captured by the Systems and Data workstream.

#### **4.3.2 CURRENT STATE OPERATING MODEL FOR REVENUE COLLECTION AND PROCESSING**

Regulatory revenue collection / processing / refund activities are predominately a centralized function, with the Revenue Processing Section in DOA responsible for regulatory payment processing for most divisions based in Tallahassee. The exceptions are DOL, and two of the divisions based elsewhere in Florida (F&V and DPI). Florida Forest Service also has a separate Fiscal Section, which predominately deals with revenue collection and processing for non-regulatory activities (e.g., access to Florida State Forests, the Buy-A-Tree service).





In addition DOA also has responsibility for the main online payment system currently provided by Bank of America and for ACH payments that are received from the tax collectors' offices that are providing the concealed weapon application service.

Overall, there are 45 positions in 16 different class titles located throughout the department involved in revenue collection and processing activity, including supervisory roles.

## 4.4 POSITION DESCRIPTION ANALYSIS

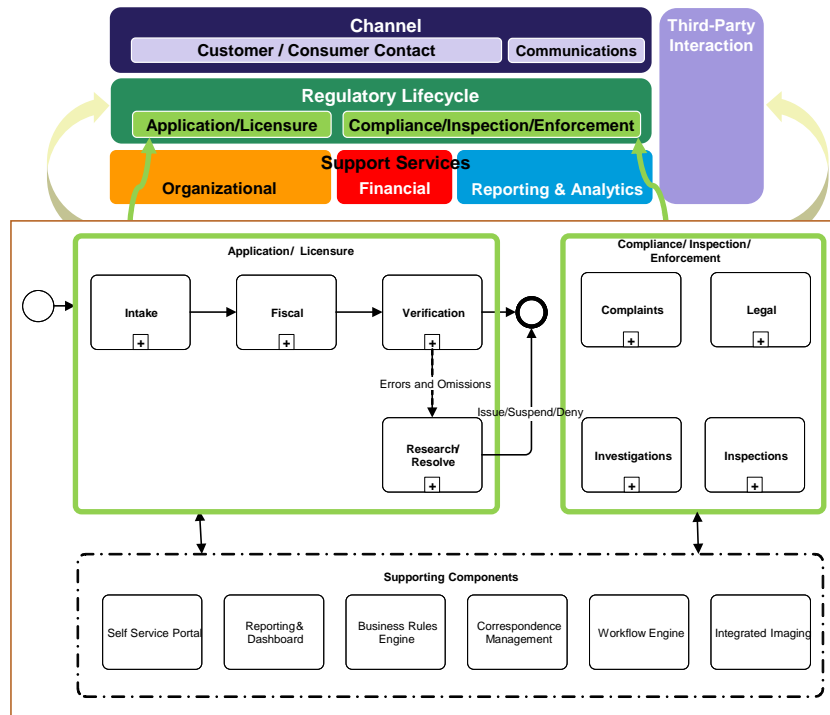
### 4.4.1 APPROACH

In order to get an understanding of how regulatory lifecycle work is currently done and how it might change once the RLMS is implemented, North Highland analyzed position description duties and responsibilities.

With guidance from the department, North Highland used a *sample* set of position descriptions for each of the regulatory related functions covered by this analysis as outlined below:

- Application and Licensure (DOL)
- Compliance and Enforcement (DOL)
- Revenue Collection (DOA / DOL)
- Investigations (AgLaw)
- Regulatory Specialists (Enterprise)

From a Workforce Transition perspective, this review was developed in parallel with the Future State Process mapping performed by the Business Process Re-engineering (BPR) workstream. Specifically, North Highland used the same categorization of activities and processes as outlined in the green boxes in the Exhibit below, and further defined in the table. Additionally, other necessary categorizations of tasks, such as Management and Reporting, are listed and defined in the Exhibit below. The methodology of applying these categorizations is discussed in Section 4.4.3.



Process/Activity Area	Description
<b>Intake</b>	Process of receiving an application for a license / permit (and supporting documentation, if any)
<b>Fiscal</b>	Acceptance and processing of payments for fees or fines (e.g., application fee, late fee), if any, related to licenses / permits (includes refunds)
<b>Verification</b>	Assuring the statutory compliance and eligibility for a license / permit
<b>Research / Resolve</b>	Resolving potential errors and / or omissions discovered in the Verification process associated with an application or its supporting documents
<b>Issue / Suspend / Deny</b>	Issuance, suspension or denial of a license / permit and associated correspondence
<b>Complaints</b>	Tasks associated with receiving a complaint and determining what further action, if any, is appropriate
<b>Legal</b>	Legal action that may be required in response to a complaint, investigation, inspection, or other source of information
<b>Investigations</b>	The process of undertaking investigative activities as a results of inspections, complaints or other triggers
<b>Inspections</b>	Inspection may be required before and/or periodically after a license / permit is issued
Not in Scope	Non-specified, support activities outside the core scope of regulatory positions such as tasks labeled as "other" or general support / back-up for other roles in the function
Administrative	Routine, back-office activities
Management	General supervisory activities that transcend regulatory-specific scope such as providing direction, motivating, evaluating and training employees, responsibilities for operational procedures and budgets
Reporting	Producing schedule and reports and extracting insight, including special analyses and analytical research projects
Customer and Stakeholder Interaction	Anticipating and responding to customer inquires and providing assistance and guidance in navigating the regulatory process - with a special focus on the quality of the customer experience and the expedience of outcomes. Achieving effective communication and information exchange with stakeholders to the regulatory process.

### Exhibit 12: RLMS Functional Model Mapped to High Level Process Model



#### 4.4.2 POSITION DESCRIPTIONS: ACTIVITY ALIGNMENT

To set up the position description analysis, North Highland mapped the activities listed to the RLMS Future Operating Model Process / Activity Area:

- For the position descriptions examined, North Highland reviewed each of the specific duties listed in the description and categorized them in line with regulatory lifecycle functional areas and processes (future state).
- The mapping is approximate and based on interpretation of the nature and purpose of the duties and responsibilities described in Section 6 Duties and Responsibilities of each of the position descriptions.
- Where an individual task had a percentage of time allocation, this was carried directly through to the mapping. Where a single percentage of time spanned multiple tasks, we applied a consistent approach to equally apportion the time.
- For instance, Position Number 42003843 in the Exhibit below indicates that the employee in this position spends 80% of his or her time engaged in five primary duties and responsibilities. Using our standardized method, we divided the 80% into five equal parts of 16% each in order to cover the component parts of the duties and responsibilities as described in the position description.

6. Duties and Responsibilities - Describe in detail the specific duties and responsibilities assigned to this position and the percentage of time for each. Indicate the role of this position in accomplishing the unit and agency mission. If applicable, include examples of independent, final policy decisions made and show their effect on the agency, the public, or other state agencies.	
<b>% of Time</b>	
<b>80% =</b>	<b><u>Duties and Responsibilities</u></b>
16%	Conducts investigations in all program areas pursuant to the authority of the Department of Agriculture and Consumer Services for alleged violations of Florida’s consumer protection laws, ...
16%	Evaluates evidence of investigations and prepares detailed, factual and grammatically correct reports of investigation, which includes ...
16%	Ensures that his/her immediate supervisor is informed of all matters relevant to investigations being conducted including the status and disposition of his/her case work...
16%	Conducts background investigations on licensees or registrants to determine if an individual has falsified their license or registration application...
16%	Performs research necessary to answer questions and assist consumers and others in a variety of subject areas...

#### Exhibit 13: Duties and Responsibilities Allocation Methodology

- The mapping resulted in insight, at an individual position level, on the current distribution of tasks related to the regulatory lifecycle, Management and Administration and other activities.



The Exhibit below is a snapshot of the mapping exercise for a representative set of roles in Application and Licensure (DOL).

Application and Licensure (DOL)										
Gray percentages means total equally allocated to sub-tasks										
Division:		Licensing	Licensing	Licensing	Licensing	Licensing	Licensing	Licensing	Licensing	Licensing
Bureau:		Support Services	Support Services	Support Services	License Issuance	Support Services	Support Services	License Issuance	License Issuance	License Issuance
Section:		Doc. Management and Tech. Support Services	Doc. Management and Tech. Support Services	Doc. Management and Tech. Support Services	Doc. Management and Tech. Support Services	Doc. Management and Tech. Support Services	Doc. Management and Tech. Support Services	Concealed Weapons	Concealed Weapons	Concealed Weapons
Activity Area	Activity Description	Senior Clerk	Data Processing Control Specialist	Data Processing Control Specialist	License Issuance/Election &	EDP Quality Control/ Scheduling	EDP Quality Control/ Scheduling	Corporate Document/ Election	License Issuance/Election &	Regulatory Specialist II
	Current or Proposed Class Code	0004	2013	2013	0411	2017	2017	0421	0411	0422
	Position Number	3878	3651	3648	4338	3657	3643	3565	3566	3572
	% Time	100%	100%	100%	100%	100%	100%	100%	100%	100%
Administrative	Data entry into EDMS							15%		15%
Administrative	With system analysts, resolve production problems, improve productivity, maintain operating procedures				15%				15%	
Administrative	Mail out and related filing system	15%								
Administrative	Print licenses									
Administrative	Ensure adequate supplies and proper operation of document management equipment				10%	10%	10%		10%	
Customer and Stakeholder Interaction	Assists stakeholders with licensing requirements and procedures									
Customer and Stakeholder Interaction	Guidance to applicants about process							10%		10%
Customer and Stakeholder Interaction	Liaison with external stakeholders and technical expertise									
Customer and Stakeholder Interaction	Correspondence/interfaces about applications and licenses							10%		10%
Fiscal Intake	Examine, log and process all revenue									
Fiscal Intake	Supervise indexing, profiling, routing/distribution of correspondence.					30%	30%			
Intake	Receives, input and analyze applications/fees and related information							15%		15%
Intake	Application intake services									
Intake	Monitor computer input/output of the EDMS					10%	10%			
Intake	Processing Mail	65%								
Intake	Scanning and related workflow activities	15%		20%						
Issue/Suspend/Deny	Operates hardware for production/control in EDMS or Acarde. Prints licenses. Produce schedules and reports		60%	30%						
Issue/Suspend/Deny	Issues or denies applications							15%		15%
Issue/Suspend/Deny	Issues and prints renewal licenses									
Legal (Enforcement)	Assist hearing officers									
Management	Responsible for operational procedures and processes				5%	5%	5%		5%	

### Exhibit 14: Position Descriptions: Activity Mapping Illustrative Snapshot

For ease of viewing the information in these Exhibits, full representation of activity mapping for each RLMS Release 1 functional area in scope is found in [Attachment IV: RLMS Position Descriptions Analysis](#)

#### 4.4.3 POSITION DESCRIPTIONS: WORKLOAD DISTRIBUTION

The purpose of this analysis is to summarize the current distribution of workload (percentage time allotted to each task) along the categories of Core Regulatory, Management / Administrative activities, and Increasing / New Activities to assess the impact of RLMS implementation.



Process/Activity Area	RLMS and Related Enabling Tools' Impact on Workload Distribution
Intake	<i>Activities specific to the regulatory lifecycle that will be <b>materially transformed and supported by RLMS</b></i>
Fiscal	
Verification	
Research / Resolve	
Issue / Suspend / Deny	
Complaints	
Legal	<i>Activities specific to the regulatory lifecycle that will be <b>facilitated by RLMS</b></i>
Investigations	
Inspections	
<b>Core Regulatory Total</b>	
Not in Scope	<i>Activities specific to the regulatory lifecycle that will be <b>facilitated by RLMS</b></i>
Administrative	
Management	
<b>Management / Administrative Total</b>	
Reporting	<i>Critical regulatory lifecycle activities that will be <b>significantly enhanced by RLMS</b></i>
Customer and Stakeholder Interaction	
<b>Increasing / New Total</b>	

### Exhibit 15: Workload Distribution Legend

The Exhibits below show the full results of the workload distribution analysis. These results, which highlight the impact that RLMS will have on the enterprise's processes and resources with respect to specific regulatory related roles, also illustrate the need for careful planning by the department to ensure that staff are equipped with the new capabilities and skills needed to maximize the benefits offered by the new technology.

Full details for each of the five regulatory related functions analyzed are found in [Attachment IV: RLMS Position Descriptions Analysis](#)



Application and Licensure (DOL)									
	Licensing Support Services	Licensing Support Services	Licensing Support Services	Licensing License Issuance	Licensing Support Services	Licensing Support Services	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance
	Doc. Management and Tech. Support Services		Doc. Management and Tech. Support Services		Doc. Management and Tech. Support Services		Doc. Management and Tech. Support Services		Concealed Weapons
	Doc. Management and Tech. Support Services		Doc. Management and Tech. Support Services		Doc. Management and Tech. Support Services		Doc. Management and Tech. Support Services		Concealed Weapons Verification
Activity Area	Senior Clerk	Data Processing Control Specialist	Data Processing Control Specialist	License Issuance/Election & Corporate Records Supervisor- SES	EDP Quality Control/Scheduling Supervisor - SES	EDP Quality Control/Scheduling Supervisor - SES	Corporate Document/Election Records Examiner	License Issuance/Election & Corporate Records Supervisor- SES	Regulatory Specialist II
Position Number	3878	3651	3648	4338	3657	3643	3565	3566	3572
Intake	80%		20%		40%	40%	15%		15%
Fiscal									
Verification		35%	45%				30%		30%
Research/Resolve									
Issue/Suspend/Deny		60%	30%				15%		15%
Complaints									
Legal (Enforcement)									
Investigation									
Inspection									
<b>Core Regulatory Total</b>	<b>80%</b>	<b>95%</b>	<b>95%</b>		<b>40%</b>	<b>40%</b>	<b>60%</b>		<b>60%</b>
Not in Scope	5%	5%	5%	5%	10%	10%	5%	5%	5%
Administrative	15%			25%	50%	50%	15%	25%	15%
Management				70%				70%	
<b>Management/Admin. Total</b>	<b>20%</b>	<b>5%</b>	<b>5%</b>	<b>100%</b>	<b>60%</b>	<b>60%</b>	<b>20%</b>	<b>100%</b>	<b>20%</b>
Reporting									
Customer and Stakeholder Interaction							20%		20%
<b>Increasing/New Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Application and Licensure (DOL)											
	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance	Licensing License Issuance
	Concealed Weapons Verification	Public Inquiry	Public Inquiry	PIA Licensing	PIA Licensing	Verification - Applicant Information	Verification - Applicant Information	D&G Proprietary Security	D&G Proprietary Security	Miami Regional Office	Tallahassee Regional Office
Activity Area	Regulatory Supervisor/Consultant - SES	Compliance Officer	Compliance Officer Supervisor - SES	Compliance Officer	Compliance Officer Supervisor - SES	Regulatory Specialist II	Regulatory Supervisor/Consultant - SES	Corporate Document/Election Records Examiner	License Issuance/Election & Corporate Records Supervisor- SES	Regulatory Specialist II - SES	Corporate Document/Election Records Examiner
Position Number	3574	3578	3579	3556	3553	3559	3560	3548	3552	3609	3980
Intake				15%		15%		15%		40%	25%
Fiscal										10%	
Verification	10%	10%		30%		30%	10%	30%			
Research/Resolve		25%									
Issue/Suspend/Deny				15%		15%		15%			25%
Complaints											
Legal (Enforcement)											
Investigation											5%
Inspection											
<b>Core Regulatory Total</b>	<b>10%</b>	<b>35%</b>		<b>60%</b>		<b>60%</b>	<b>10%</b>	<b>60%</b>		<b>50%</b>	<b>55%</b>
Not in Scope	10%	5%	10%	5%	10%	5%	10%	5%	10%	23%	5%
Administrative		25%		15%		15%		15%			25%
Management	70%		70%		75%		70%		75%	28%	
<b>Management/Admin. Total</b>	<b>80%</b>	<b>30%</b>	<b>80%</b>	<b>20%</b>	<b>85%</b>	<b>20%</b>	<b>80%</b>	<b>20%</b>	<b>85%</b>	<b>50%</b>	<b>30%</b>
Reporting											
Customer and Stakeholder Interaction	10%	35%	20%	20%	15%	20%	10%	20%	15%		15%
<b>Increasing/New Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Exhibit 16: Distribution of Workload – Application and Licensure (DOL)



**Compliance and Enforcement (DOL)**

	Licensing	Licensing	Licensing	Licensing	Licensing	Licensing	Licensing	Licensing
	Director's Office				Director's Office			License Issuance (per current PD)
	Compliance				Compliance			Public Inquiry Section (per current PD)
<i>Gray percentages means total equally allocated to sub-tasks</i>	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance
<b>Activity Area</b>	<u>Attorney Supervisor</u>	<u>Administrative Assistant I</u>	<u>Senior Attorney</u>	<u>Senior Attorney</u>	<u>Government Analyst I</u>	<u>Administrative Assistant I</u>	<u>Research Assistant</u>	<u>Compliance Officer</u>
Position Number	3528	3530	3639	3660	3526	4063	3538	3580
Intake								
Fiscal								
Verification								
Research/Resolve								
Issue/Suspend/Deny								
Complaints								
Legal (Enforcement)	55%	20%	90%	60%	80%	20%	40%	
Investigation								
Inspection								
<b>Core Regulatory Total</b>	<b>55%</b>	<b>20%</b>	<b>90%</b>	<b>60%</b>	<b>80%</b>	<b>20%</b>	<b>40%</b>	
Not in Scope			5%	5%	5%	5%	5%	5%
Administrative		80%			15%	75%		45%
Management	45%		5%	35%			15%	
<b>Management/Admin. Total</b>	<b>45%</b>	<b>80%</b>	<b>10%</b>	<b>40%</b>	<b>20%</b>	<b>80%</b>	<b>20%</b>	<b>50%</b>
Reporting							40%	
Customer and Stakeholder Interaction								50%
<b>Increasing/New Total</b>							<b>40%</b>	<b>50%</b>
	100%	100%	100%	100%	100%	100%	100%	100%

**Exhibit 17: Distribution of Workload – Compliance and Enforcement (DOL)**



### Revenue Collection (DOA/DOL)

	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting
	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing
<i>Gray percentages means total equally allocated to sub-tasks</i>								
<b>Activity Area</b>	<b>Accounting Services Administrator</b>	<b>Senior Clerk</b>	<b>Fiscal Assistant II</b>	<b>Accountant I</b>	<b>Accountant II</b>	<b>Accountant II</b>	<b>Accountant II</b>	<b>Accountant III</b>
Position Number	0928	0039	0646	0630	0044	0052	0055	2004
Intake	57%	45%	15%					
Fiscal		2%	15%	80%	20%	20%	20%	95%
Verification								
Research/Resolve					75%	75%	75%	
Issue/Suspend/Deny			5%					
Complaints								
Legal (Enforcement)								
Investigation								
Inspection								
<b>Core Regulatory Total</b>		<b>59%</b>	<b>65%</b>	<b>95%</b>	<b>95%</b>	<b>95%</b>	<b>95%</b>	<b>95%</b>
Not in Scope		2%	5%	5%	5%	5%	5%	5%
Administrative		2%	30%					
Management	95%	37%						
<b>Management/Admin. Total</b>	<b>95%</b>	<b>41%</b>	<b>35%</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>
Reporting	5%							
Customer and Stakeholder Interaction								
<b>Increasing/New Total</b>	<b>5%</b>							
	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

### Revenue Collection (DOA/DOL)

	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting	Administration Finance and Accounting	Licensing Director's Office	Licensing Director's Office	Licensing Director's Office	Licensing Director's Office
	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Revenue Management Unit/ Revenue Processing	Fiscal Section	Fiscal Section	Fiscal Section	Fiscal Section
<i>Gray percentages means total equally allocated to sub-tasks</i>								
<b>Activity Area</b>	<b>Accountant IV</b>	<b>Professional Accountant</b>	<b>Professional Accountant</b>	<b>Professional Accountant</b>	<b>Accountant II</b>	<b>Accountant II</b>	<b>Accountant I</b>	<b>Senior Management Analyst II - SES</b>
Position Number	0651	5514	0087	3302	3628	5548	3269	3892
Intake	10%							
Fiscal	63%	50%	20%	35%	35%	95%	75%	5%
Verification								
Research/Resolve	20%	45%	75%	60%				
Issue/Suspend/Deny	2%							
Complaints								
Legal (Enforcement)								
Investigation								
Inspection								
<b>Core Regulatory Total</b>	<b>95%</b>	<b>95%</b>	<b>95%</b>	<b>95%</b>	<b>35%</b>	<b>95%</b>	<b>75%</b>	<b>5%</b>
Not in Scope	5%	5%	5%	5%	5%	5%	5%	35%
Administrative					40%		10%	10%
Management								20%
<b>Management/Admin. Total</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>	<b>45%</b>	<b>5%</b>	<b>15%</b>	<b>65%</b>
Reporting					20%		10%	30%
Customer and Stakeholder Interaction								
<b>Increasing/New Total</b>	<b>20%</b>				<b>10%</b>		<b>30%</b>	
	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

### Exhibit 18: Distribution of Workload – Revenue Collection (DOA / DOL)





### Investigation (AgLaw)

	Office of Agricultural Law Enforcement	Office of Agricultural Law Enforcement	Office of Agricultural Law Enforcement	Office of Agricultural Law Enforcement
	Investigative Services	Investigative Services	Investigative Services	Investigative Services
<i>Gray percentages means total equally allocated to sub-tasks</i>	Regulatory - Ft. Lauderdale/Broward/06	Regulatory Investigative - Indian River/31	Regulatory /South Region - Orlando/Orange/48	Regulatory/North Region - Leon/37
<b>Activity Area</b>	<u>Investigative Manager - SES</u>	<u>Investigative Supervisor - SES</u>	<u>Senior Financial Investigator</u>	<u>Investigation Specialist I</u>
Position Number	3873	1916	1199	3843
Intake				
Fiscal				
Verification				
Research/Resolve		16%	10%	16%
Issue/Suspend/Deny				
Complaints				
Legal (Enforcement)				
Investigation	27%	16%	50%	48%
Inspection				
<b>Core Regulatory Total</b>	<b>27%</b>	<b>32%</b>	<b>60%</b>	<b>64%</b>
Not in Scope	5%			10%
Administrative				
Management	68%	68%	20%	
<b>Management/Admin. Total</b>	<b>73%</b>	<b>68%</b>	<b>20%</b>	<b>10%</b>
Reporting			10%	16%
Customer and Stakeholder Interaction			10%	10%
<b>Increasing/New Total</b>			<b>20%</b>	<b>26%</b>
	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

**Exhibit 19: Distribution of Workload – Investigation (AgLaw)**



### Regulatory Specialists (Enterprise)

	Consumer Services	Consumer Services	Consumer Services	Consumer Services	Consumer Services	Consumer Services	Consumer Services	Consumer Services	Consumer Services
	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance	Compliance	Mediation & Enforcement	Mediation & Enforcement
	Chief of Compliance (Registration?)	Chief of Compliance (Registration?)	Chief of Compliance (Registration?)	Chief of Compliance (Registration?)	Registration/Licensing	Registration/Licensing	Registration/Licensing	Complaints/Enforcement	Complaints/Enforcement
<i>Gray percentages means total equally allocated to sub-tasks</i>									
Activity Area	Regulatory Specialist I	Regulatory Specialist I	Regulatory Consultant	Regulatory Specialist I	Regulatory Specialist I	Regulatory Specialist III	Regulatory Consultant	Regulatory Specialist III	Senior Consumer Services Analyst
Position Number	5273	0556	1168	5095	5294	3450	5284	0617	3720
Intake	20%	50%	10%	80%	95%	28%	20%	8%	13%
Fiscal	35%								
Verification						14%	20%		
Research/Resolve								8%	13%
Issue/Suspend/Deny		40%	10%						
Complaints									
Legal (Enforcement)			10%				13%	8%	
Investigation									
Inspection									
<b>Core Regulatory Total</b>	<b>55%</b>	<b>90%</b>	<b>30%</b>	<b>80%</b>	<b>95%</b>	<b>43%</b>	<b>53%</b>	<b>24%</b>	<b>27%</b>
Not in Scope	5%	5%	20%	5%	5%	15%	10%	28%	20%
Administrative			10%			14%	10%	8%	7%
Management			10%				3%		
<b>Management/Admin. Total</b>	<b>5%</b>	<b>5%</b>	<b>40%</b>	<b>5%</b>	<b>5%</b>	<b>29%</b>	<b>23%</b>	<b>36%</b>	<b>27%</b>
Reporting			30%				3%	16%	27%
Customer and Stakeholder Interaction	40%	5%		15%		28%	20%	24%	20%
<b>Increasing/New Total</b>	<b>40%</b>	<b>5%</b>	<b>30%</b>	<b>15%</b>		<b>28%</b>	<b>23%</b>	<b>40%</b>	<b>47%</b>
	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

### Regulatory Specialists (Enterprise)

	Consumer Services	AES	AES	AES	AES	AES	AES	AES	Food, Nutrition and Wellness
	Mediation & Enforcement	Licensing and Enforcement	Licensing and Enforcement	Licensing and Enforcement	Licensing and Enforcement	Licensing and Enforcement	Licensing and Enforcement	Licensing and Enforcement	Food Distribution
	Complaints/Enforcement	Licensing/Registration - Pesticide Registration	Licensing/Registration - Pest Control Licensing	Licensing/Registration - Pest Control Licensing	Licensing/Registration - Certification	Licensing/Registration - Certification	Enforcement/Environmental	Enforcement/Environmental	Chief of Food Distribution
<i>Gray percentages means total equally allocated to sub-tasks</i>									
Activity Area	Regulatory Consultant	Regulatory Specialist I	Regulatory Specialist I	Regulatory Specialist I	Regulatory Specialist I	Regulatory Specialist II	Regulatory Specialist I	Regulatory Specialist II	Regulatory Consultant
Position Number	0428	0107	5258	4495	0118	0141	0167	0115	5221
Intake	10%	10%	30%	30%	30%	30%			
Fiscal									
Verification		70%	50%	50%	50%	50%	30%	65%	
Research/Resolve									10%
Issue/Suspend/Deny	10%								
Complaints									
Legal (Enforcement)	20%								
Investigation									
Inspection									30%
<b>Core Regulatory Total</b>	<b>40%</b>	<b>80%</b>	<b>80%</b>	<b>80%</b>	<b>80%</b>	<b>80%</b>	<b>30%</b>	<b>65%</b>	<b>40%</b>
Not in Scope	20%	5%	5%	5%	5%	5%	5%	5%	10%
Administrative	10%						30%	20%	
Management									
<b>Management/Admin. Total</b>	<b>30%</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>	<b>5%</b>	<b>35%</b>	<b>25%</b>	<b>10%</b>
Reporting	20%		5%	5%	5%	5%	10%	5%	30%
Customer and Stakeholder Interaction	10%	15%	10%	10%	10%	10%	25%	5%	20%
<b>Increasing/New Total</b>	<b>30%</b>	<b>15%</b>	<b>15%</b>	<b>15%</b>	<b>15%</b>	<b>15%</b>	<b>35%</b>	<b>10%</b>	<b>50%</b>
	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

## Exhibit 20: Distribution of Workload – Regulatory Specialists (Enterprise)



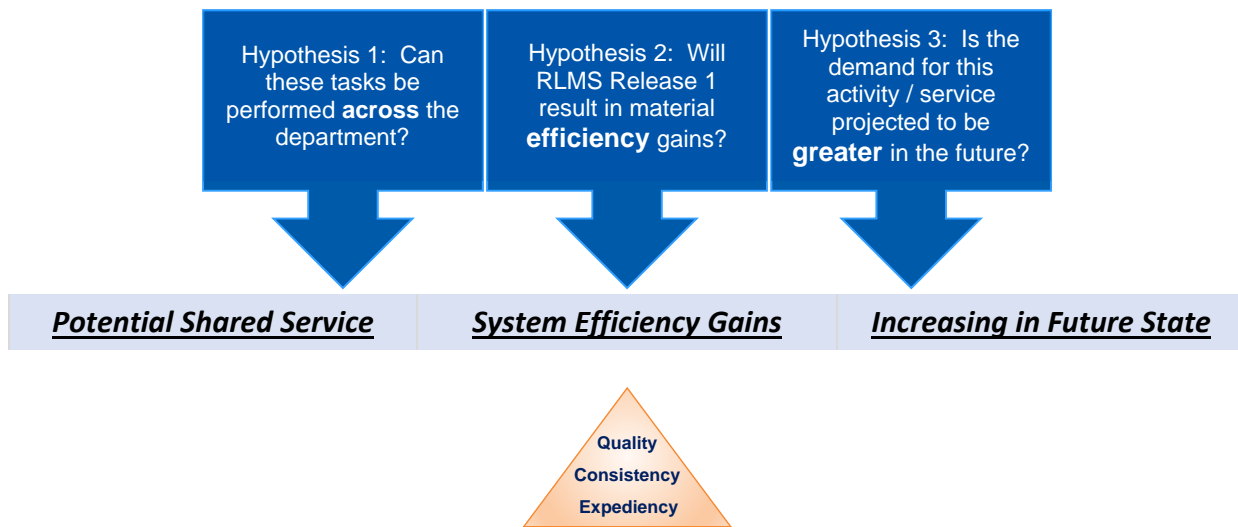
The exhibits above provide valuable insight on workforce transition implications and priorities for RLMS implementation:

- The workload distribution profiles vary across regulatory related functions, affecting the level of impact and opportunities to shape the success of RLMS implementation from both an organizational design and workforce capabilities perspective.
  - › In **Application and Licensure**, supervisory roles are currently focused on Management / Administrative activities, rather than core regulatory tasks and exchanges with customers are predominantly process-based around the intake and resulting processes.
  - › **Compliance and Enforcement** and **Investigation** senior and supervisory positions currently focus predominantly on administrative requirements (routine, supervisory cross-checks) and less on core regulatory activities.
  - › For most **Revenue Collection and Processing**, positions assessed are centered on the regulatory core, with the majority of time spent on fiscal and research and resolve activities.
  - › The sample of **Regulatory Specialists** position descriptions are also primarily focused on core regulatory activities, although each example examined also has a significant component of Customer and Stakeholder interaction, typically between 10-25%.
- Workforce transition, training, and change management plans need to be framed for each functional area to reflect the unique distributions of workload.
- For Investigation and Compliance and Enforcement the focus of their efforts reflects both the particular nature of their regulatory lifecycle roles (which is based on expertise) and the recent effort to harmonize the position descriptions.

These observations and opportunities are captured in further detail in the Findings and Recommendations (Section 6).

#### **4.4.4 POSITION DESCRIPTIONS ANALYSIS: THREE HYPOTHESES**

For this component of the analysis, North Highland utilized a three-question “lens” – framed in the form of three hypotheses – that broadly correspond to achieving the goals of Quality, Consistency and Expediency of service at the core of the RLMS project. The Exhibit below documents the three hypotheses and the summary set of processes and activity areas North Highland identified across regulatory related position descriptions that are candidates for careful consideration of the opportunities surfaced by the hypotheses.



### Exhibit 21: Position Descriptions – Three Hypotheses

North Highland applied the three questions “lens” / hypotheses to each activity mapped from the position descriptions set to evaluate how the activity would be affected by RLMS. Only line items of activities likely affected by the hypotheses are presented.

The Exhibit below is a snapshot of the exercise for Application and Licensure (DOL). Full results for each RLMS Release 1 functional area are found in [Attachment IV: RLMS Position Descriptions Analysis](#)



Application and Licensure (DOL)				
Activity Area	Activity Description	Potential Shared Service	System Efficiency Gains	Increasing in Future State
Administrative	Data entry into EDMS	Y	Y	
Administrative	With system analysts, resolve production problems, improve productivity, maintain operating procedures	Y	Y	
Administrative	Mail out and related filing system	Y	Y	
Administrative	Print licenses	Y	Y	
Administrative	Ensure adequate supplies and proper operation of document management equipment	Y	Y	
Customer and Stakeholder Interaction	Assists stakeholders with licensing requirements and procedures	Y		Y
Customer and Stakeholder Interaction	Guidance to applicants about process	Y		Y
Customer and Stakeholder Interaction	Liaison with external stakeholders and technical expertise	Y		Y
Customer and Stakeholder Interaction	Correspondence/interfaces about applications and licenses		Y	Y
Fiscal	Examine, log and process all revenue	Y	Y	
Intake	Supervise indexing, profiling, routing/distribution of correspondence	Y	Y	
Intake	Receives, input and analyze applications/fees and related information	Y		
Intake	Application intake services	Y	Y	
Intake	Monitor computer input/output of the EDMS	Y	Y	
Intake	Processing Mail	Y		
Intake	Scanning and related workflow activities	Y	Y	
Issue/Suspend/Deny	Operates hardware for production/control in EDMS or Acorde. Prints licenses. Produce schedules and reports	Y	Y	
Issue/Suspend/Deny	Issues or denies applications	Y	Y	
Issue/Suspend/Deny	Issues and prints renewal licenses	Y	Y	
Legal (Enforcement)	Assist hearing officers			
Management	Responsible for operational procedures and processes	Y		Y
Management	Administrative and supervisory work relating to the EDMS	Y	Y	
Management	Oversee application of policies /procedures for application approval/denial	Y	Y	
Management	Direct supervision of subordinates			
Management	Back-up supervisor			
Management	Manage budgets/dollars/resources	Y	Y	
Management	Supervise correspondence workflow and opening, batching and routing	Y	Y	
Reporting	Produce schedules and reports	Y	Y	
Research / Resolve	Correspondence/interfaces about statutory and procedural eligibility requirements		Y	Y
Verification	Works with in state and out of state law enforcement to verify criminal records		Y	Y
Verification	Determines if application complete	Y	Y	
Verification	Applicant processing	Y	Y	
Verification	Review scanned documents	Y	Y	
Not in Scope	Special research projects			

**Exhibit 22: Position Descriptions: Hypothesis Results for Application & Licensure (DOL)**

The tables ([Attachment IV: RLMS Position Descriptions Analysis](#)) give an overview of the magnitude of, and opportunities for, the RLMS journey to drive the Quality, Consistency, and Expediency outcomes. The assessment is at a high level and only of the opportunities framed by the three hypotheses since it is applied to a representative *sample* of positions (many of which have similar descriptions). However, North Highland believes it is scalable and that further detailed analysis is warranted and should be linked into the existing initiative being carried out by BPM on the harmonization of Position Descriptions across functions. Specifically:



- There appear to be opportunities to consider applying the “One Team” service concept across the department and consolidate non-legal / compliance regulatory activities.
  - › Application and Licensure (DOL)
  - › Revenue Collection (DOA / DOL / F&V / DPI / FFS)
  - › Regulatory Specialist (Enterprise)
  
- By design and intent, these functions are also expected to experience high levels of efficiency gains with RLMS.
  
- Functions that are heavily dependent on the application of regulatory knowledge and the qualifications of individual contributors (such as attorneys and investigators – marked Low in the exhibit below) are less affected by system-driven changes but will, however, experience benefits from less burdensome information access and sharing processes – resulting in better leverage of key regulatory skill sets.
  
- Except for the revenue collection function, all regulatory related functions should be able to significantly leverage the benefits of RLMS in the Reporting and Analytics and Customer and Stakeholder Interactions areas and these opportunities can have a multiplier effect for the department’s capacity to deliver on its Quality, Consistency and Expediency goals.
  
- The opportunities below have different implementation profiles:
  - › System Efficiency Gains will be realized as each RLMS Release comes online.
  - › Establishing the feasibility of Potential Shared Services activities will require further organizational design across the regulatory functions and the rollout of the future state regulatory lifecycle processes as defined by the BPR workstream, but can potentially happen in advance of RLMS implementation.
  - › The ‘Increasing in Future State’ benefits are dependent on freeing up additional capacity for these areas to be focused on.

	<u>Potential Shared Service</u>	<u>System Efficiency Gains</u>	<u>Increasing in Future State</u>
Application & Licensure (DOL)	High	High	Medium
Compliance and Enforcement (DOL)	Low	Low	Low
Revenue Collection and Processing (DOA / DOL)	High	High	
Investigation (AgLaw)		Low	Low
Regulatory Specialist (Enterprise)	High	High	Medium

### Exhibit 23: Summary of Functional Opportunities

These observations are additionally and more broadly discussed in Section 6, Findings and Recommendations.



## SECTION 5 CAPABILITY CHANGES

In this section North Highland identifies new or enhanced capabilities that will be required in the Future Operating Model for RLMS and those that will be less significant or no longer required. This analysis sets the stage for the direction and content of the Workforce Knowledge, Skills, and Abilities Transition Plan and the Workforce Training Plan deliverables.

### 5.1 TRANSITION FROM CURRENT TO FUTURE OPERATING MODEL

The exhibit below captures the goals, outcomes and the multiple dimensions of the transformation in service delivery driven by the Future Operating Model for RLMS, and highlights and provides context for the assessment of the RLMS impact on workforce capabilities needs and on the resulting outcomes for customers, stakeholders and department resources.

RLMS and related enabling tools will ensure resources have the ability to focus on high value-added activities, drive greater **quality** and **consistency** on inputs / outputs across regulatory processes, and will help meet customers and stakeholders' **expediency** expectations.

As illustrated, some current regulatory lifecycle related **activities** will **decrease and** others will **increase and / or be newly** needed, resulting in a corresponding shift in skills requirements to interface with the RLMS system to perform these functions. Specifically:

- The volume of **manual, administrative and oversight** activities will significantly decrease.
- The capacity and quality of **analysis, reporting and insight** will expand at all levels of the organization.
- The level and sophistication of **customer service** and **stakeholder interactions** will increase.
- **Cross functional** knowledge of regulatory requirements, processes and supporting technologies will be widely required. Responsiveness to **training / learning** and applying **risk management** principles are requisite to acquiring the cross functional knowledge.

Another outcome of the Operating Model transition is that the department will achieve greater **capacity** to elevate, and affect, **service** and **resource development**. As a result, for staff there will be:

- Opportunity to perform higher **value-added** activities
- Line of sight to professional opportunities to grow and achieve career **progression** goals
- Empowerment to apply judgment and exercise **decision-making** privileges



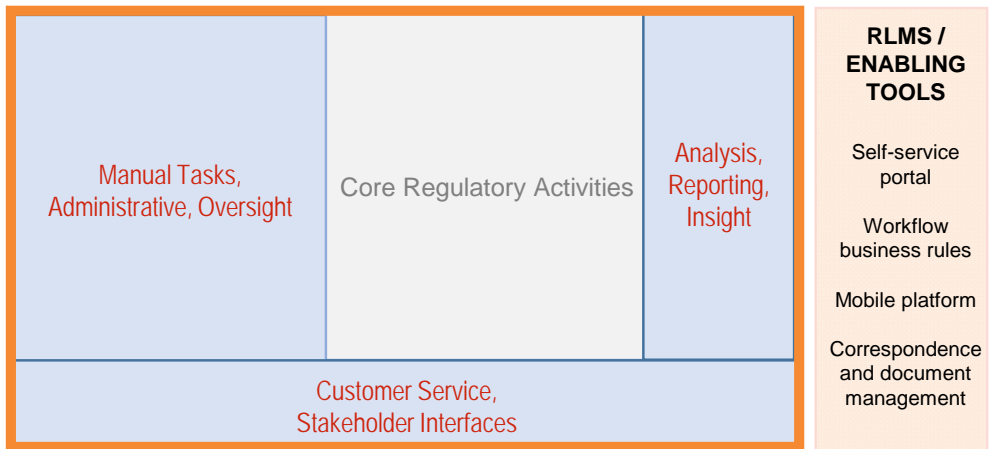
With the Current Operating Model, existing processes and tools are constraining the timing and effectiveness of regulatory services delivery. The business transformation accomplished with the implementation of the Future Operating Model delivers on the **goals** of the RLMS project which revolve around enabling innovative systems and processes including: implementing a customer **self-service portal**, defining a **workflow and business rules engine**, leveraging **mobile platforms**, and improving **correspondence and document management** to efficiently and consistently deliver on regulatory demands and outcomes.

Hence, this Operating Model transition embodies and leverages the **Guiding Principles** developed to support a successful Workforce Transition experience for the leadership and resources of the department.





Distribution of Activities – **Current Operating Model**

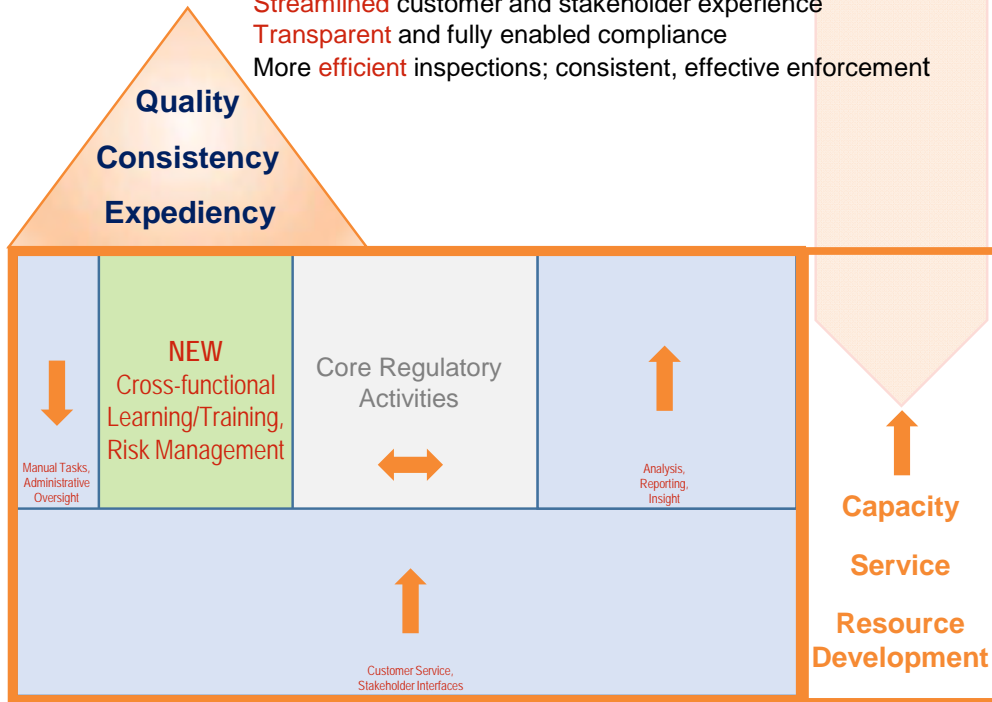


**Environment / Professional Development**

Opportunities to perform high value-added activities  
On-the-job learning/training and professional progression  
Increase in span of decision making

**Customer / Stakeholder Experience**

Streamlined customer and stakeholder experience  
Transparent and fully enabled compliance  
More efficient inspections; consistent, effective enforcement



Distribution of Activities – **Future Operating Model**

Anticipated enhanced efficiencies and higher productivity levels achieved with the Future Operating Model are not projected to result in loss of positions (except for natural attrition), but that capacity will be deployed to meet future need

**Exhibit 24: Operating Model Transition**



## 5.2 APPROACH TO ESTABLISHING REQUIRED FUTURE STATE CAPABILITIES

The review of how regulatory and supporting financial tasks are currently performed (Section 4) informed our approach at evaluating how capabilities and competencies requirements shift with the RLMS implementation.

Specifically, and in collaboration with department leadership, North Highland identified that:

- There will be compelling opportunities for performing as **One Team** across the department for certain types of activities currently conducted in siloes
- The RLMS implementation will result in significant system **efficiency** gains and will not liberate resources from a plethora of tactical and low value-added tasks
- The demand for the quality and quantity of regulatory services provided is **increasing**, and there is an awareness and desire on the part of the department to successfully meet these needs

## 5.3 ASSESSING CHANGING CAPABILITIES NEEDS

The RLMS implementation project is a key enabling platform for organizational innovation and significantly expands the department's capacity on a multitude of fronts including: the level and quality of service; and the potential to invest in resource development.

The RLMS implementation will impact how the department performs regulatory activities and the type and scope of capabilities needed in the Future Operating Model are shifting as outlined below.

These tables (sections below) identify and explain projected capabilities requirements resulting from the shift to the Future Operational Model support by the RLMS Release 1 implementation. They describe the projected new, decreasing and increasing capabilities needs, the rationale for the change in demand, and who is impacted across the regulatory spectrum.

### 5.3.1 INCREASING AND / OR NEW CAPABILITIES NEEDS

RLMS implementation releases capacity for innovation and for higher value activities, including enhanced customer service, analysis and reporting, enforcement and licensing/permitting process navigation.

Delivering better customer service and anticipating customer needs requires resources receptive (through training and / or on-the-job learning) to acquiring cross-functional knowledge of the regulatory lifecycle and function – and sufficient analytical and risk management skills to support newly implemented insight-driven execution.



CAPABILITY	DESCRIPTION	RATIONALE / DRIVER	WHO IS IMPACTED?
Customer and Stakeholder Interaction	Communicate with customers / consumers and stakeholders; understand their needs and articulate requirements, and provide guidance through processes and procedures	Enhanced customer service is both a goal and an outcome of RLMS implementation and results in the opportunity to align more roles to customer service and stakeholder interaction	Individuals in roles that correspond / interact with constituencies about applications, licenses, statutory, and procedural eligibility requirements
Cross-Functional Licensing Regulatory Knowledge	Ability to navigate process, technology and people interactions across the regulatory lifecycle	Multiple licensing and related regulatory activities currently performed in siloes will be performed differently (One Team) and will result in enhanced professional opportunities	Licensing Section / supporting Financial Support / other divisions resources who interface with regulatory processes the technology
Management Insight	Any supervision effort required for effective resource deployment, customer outcomes and improving performance	Capacity for critical thinking expands (enabling technologies and streamlined processes) and management can focus less on single point of oversight and more on delivering management insight	Individuals with supervisory and management responsibilities
Reporting and Data Analysis	Ability to organize, examine, interpret and report information about licensing and supporting regulatory processes	More insightful reporting results in a greater ability to understand the effectiveness of operations and anticipate customer needs	Anyone responsible for reporting activities
Compliance Reporting	Maintaining knowledge of compliance; ability to collate it for internal communication	Compliance reporting will be distributed across resources for the span of the licensing process	Anyone responsible for enforcing and monitoring compliance
Risk Management	Risk management is the ability to identify, surface to responsible parties, and mitigate irregularities and deviations from licensing and permitting compliance requirements	Increased transparency and data accessibility (enabled by the system) requires resources across the licensing and regulatory spectrum to develop and deploy basic and advanced risk management skills	Most department personnel currently validating applications across the multi-staged process
License Issuance	Achieve a sufficient level of familiarity with, and navigate across the licenses, registrations, certificates and permits issuance and denial processes input / output steps	The new system will result in greater information access across the licensing and permitting spectrum	Anyone who handles license issuances and / or denials



CAPABILITY	DESCRIPTION	RATIONALE / DRIVER	WHO IS IMPACTED?
Enforcement	Ability to utilize data from compliance, inspections and investigations that triggers enforcement actions	Technology and enhanced analysis result in more sophisticated enforcement activity and outcomes	Anyone executing enforcement activities
Field Operations	Ability to utilize real time access to data to enhance inspections and investigations	Real time data access drives the quality and speed – and capacity for – field operations	Resources performing regulatory lifecycle-related field work
Entry-Level Skill Base b Trainability	Ability to learn new systems and ways of working – there is likely to be an increased expectation on the ability to use the systems	Entry level roles will be filled by individuals with a sound basis for interacting with technology enabled transactional/revenue processes	Anyone currently – and new hire resources – performing entry-level activities in the impacted divisions
System Utilization	Achieve comfort with using and leveraging new system and process interactions	Several activities and processes will be performed predominantly via the new technology	All resources performing licensing / permitting activities – and related revenue financial support

**Exhibit 25: Increasing and / or New Capabilities Needs**

**5.3.2 DECREASING CAPABILITIES NEEDS**

The deployment of new regulatory lifecycle processes and enabling technologies (e.g., self-service and mobile platforms; automated workflow / business rules engine; and correspondence and document management tools) results in a reduction in manual (or off-system) processes and less duplication of effort (i.e., fewer systems, less data input, validation and corrections).

CAPABILITY	DESCRIPTION	RATIONALE / DRIVER	WHO IS IMPACTED?
Administrative Intake and Scanning	Getting information into the system: scanning and related intake, sorting and categorizing workflow	Shift to more applications completed online and at customer service centers, reduction in manual data entry, and improvements to scanning / OCR accuracy	Anyone responsible for administrative processing of licenses and permits; intake of complaints
Mail Processing	Receiving, sorting and routing incoming mail and payments; serving the outgoing mail needs of the department	Automated and consolidated mail processing results in decreased resource-based capacity needs. More automatically triggered outbound mail; shift to email correspondence	Resources currently responsible for physically receiving, organizing, processing and sending mail



CAPABILITY	DESCRIPTION	RATIONALE / DRIVER	WHO IS IMPACTED?
Data Entry	Manually inputting / amending application and related revenue collection information into current regulatory systems	The implementation of the new system will greatly reduce, or eliminate, the need for manual and duplicative data entry into multiple systems	Individuals who transfer paper-based information into electronic platforms
Validation	Monitoring applications for compliance and completeness across the licensing and permitting process to ensure regulatory requirements are met	Automated system / processes, higher accuracy and consistency, and alerts switch the focus of validation activities towards greater analysis of license applications and regulatory compliance	Most department personnel currently validating applications across the multi-staged process
Management Oversight	Any supervision effort required for resource deployment, process and Regulatory compliance, and managing errors and exceptions	Through enabling technologies and streamlined processes, management can focus less on single-point oversight and more on appropriate escalation and decision making	Individuals with supervisory and management responsibilities

**Exhibit 26: Decreasing Capabilities Needs**

This information will feed into the Workforce Knowledge, Skills, and Abilities Transition Plan and the Workforce Training Plan deliverables documents which address how to successfully implement capabilities re-alignment.



## SECTION 6 FINDINGS AND RECOMMENDATIONS

This WTA, in alignment with the effort undertaken by the BPR workstream, has identified potential gaps between current and future operating models, detailing how the organization may be impacted and workforce issues may be faced throughout the project.

This section also includes recommendations related to opportunities for workforce transition throughout the life of the RLMS Project and how these can feed into, and where appropriate, be delivered through ongoing department-led transformation initiatives such as the Position Classification exercise being undertaken by the Bureau of Personnel Management.

Several process and technologies realities under the Current Operating Model serve as barriers to opportunities to improve the current quality and level of service, the work experience of, and opportunities for, resources performing regulatory activities, and for achieving greater levels of efficiency. The Exhibit below assesses these opportunities and presents how RLMS, related enabling tools, and the implementation of a Future Operating Model support the recommendations and benefits outlined below.

OPPORTUNITIES	RECOMMENDATIONS	BENEFIT
<b>ORGANIZATIONAL DESIGN THEMES</b>		
<b>Fragmented Systems and IT Application Support:</b> The current fragmented nature of regulatory systems application support is not sustainable under the enterprise RLMS model. IT application support resources are distributed and often focused at supporting bureau and / or division-specific applications which will be rendered obsolete with RLMS	Newly established RLMS technology can be leveraged to centralize and streamline IT application support – consider launching this effort immediately	Quality, consistency, expediency  Proactive management of potential IT support confusion or inconsistencies for RLMS deployment
<b>Limited Reporting and Analytics:</b> Reporting and analytics capabilities are currently limited in both capacity (current focus on manual, not integrated processes) and technology (fragmented tools and support)	Establish a reporting and analytics center of excellence to encompass management, compliance, mandatory and financial reporting, as well as statistical analysis	Anticipate and meet regulatory compliance and regulatory requirements  Greater ability to develop and leverage an expanded skill set
<b>Siloed Customer Support Knowledge:</b> The ability to answer customer questions on the regulatory process is limited to the knowledge of resources who are performing specific segments / types of regulatory activity	Provide cross-training, access to appropriate enterprise data, and a regulatory knowledgebase within the RLMS to enable resolution of customer inquiries at first point of contact	Quality, consistency, expediency and improved customer experience



OPPORTUNITIES	RECOMMENDATIONS	BENEFIT
<p><b>Siloed Mail / Document Processing:</b> There are a myriad of siloed and repeated mail / document processing activities in bureaus and sections</p>	<p>Execute the consolidation of mail processing, correspondence, and document management activities</p>	<p>Quality, consistency, expediency</p>
<p><b>Range of Regulatory Position Titles:</b> The number of different position titles used across the department to describe similar regulatory lifecycle as well as IT support roles is cumbersome</p>	<p>As part of the ongoing position classification harmonization effort, consolidate the number of position descriptions where roles are undertaking similar tasks</p>	<p>Streamlined and deliberate recruitment efforts</p> <p>Professional development clarity for impacted regulatory lifecycle and IT personnel</p>
<p><b>Focus on Tasks rather than Skills:</b> Current position descriptions are task-focused and do not accurately reflect the knowledge, skills, abilities and competencies needed to perform regulatory lifecycle roles</p>	<p>Consider rewriting the position descriptions, (within known state-wide constraints), to include:</p> <ul style="list-style-type: none"> <li>-consistent usage of the KSA section of the PD template;</li> <li>-consistent application of SMART expectations and;</li> <li>-usage of supplemental supporting documentation to specify RLMS competencies</li> </ul>	<p>Clarity for management and employees on roles' expectations</p> <p>Accurate reflection of skills and capabilities needed to complement RLMS</p>
<b>TRAINING AND DEVELOPMENT THEMES</b>		
<p><b>Limited career development opportunities:</b> Siloed regulatory lifecycle functions, lack of consistency of processes, and unclear roles, responsibilities and handoffs are limiting resources' ability to develop and advance in the department</p>	<p>Articulate and establish clear career paths for individuals supported by the RLMS and the Future Operating Model</p>	<p>Recruitment and retention, primarily Inspections</p>
<p><b>Talent access and development constraints:</b> Access to talent for the department is limited by the siloed nature of current regulatory functional operations and its inherent constraints on employee opportunities for recognition and development</p>	<p>Embrace a department-wide approach to employee development to improve the bench quality of resources and provide access to a wider talent base for the department</p>	<p>Recruitment and retention</p>
<p><b>Processes are limiting value-added activities:</b> Employees' ability to focus on value-added activities and independent decision making is currently limited by cumbersome processes and applications</p>	<p>Foster and model a culture that encourages appropriate decision making initiative and that values proactive risk management</p>	<p>Improved compliance and faster cycle times</p>



OPPORTUNITIES	RECOMMENDATIONS	BENEFIT
<p><b>Ability to learn is critical:</b> RLMS will drive the need for new capabilities in the department and require current resources ability to learn new skills</p>	<p>Define learning and behavioral changes programs to assist workers and establish appropriate plans to deliver training on new capabilities requirements – and consider shifting resources from current roles</p>	<p>Quality of resources’ skill and capabilities base</p>
<p><b>Technical and Business Skills are complementary:</b> Currently there is no holistic view of the combination of the technical and business skills required for regulatory lifecycle roles</p>	<p>Consider establishing an integrated regulatory lifecycle Competency Model (technical <i>and</i> business components)</p>	<p>People with the “right” skills will ensure the successful and sustainable implementation of RLMS</p>
<p><b>BEST PRACTICES / GOVERNANCE THEMES</b></p>		
<p><b>Current limits to the One Team concept:</b> Functional fragmentation of services and activities does not foster a one-team concept across regulatory functions and the department</p>	<p>Perform assessments of organizational best practices in consolidation of relevant activities and services under consideration (call center, data analytics center of excellence, mail / document processing) and frame specific deployment plans</p>	<p>Detailed strategy and execution plans for the launch and implementation of process consolidation activities that drive efficiency and quality of service</p>
<p><b>Need for a Reporting and Analytics strategy:</b> Current reporting and data analytics are performed ad hoc and lack consistent strategy</p>	<p>Perform an inventory of current reporting practices and outputs; assess reporting needs and opportunities under the Future Operating Model supported by RLMS and establish appropriate governance and accountability over analytics and reporting activities across the department, along with any statutory or rule changes required</p>	<p>Relevant and actionable reports and analytical insights</p>
<p><b>Operating Model effects on stakeholders:</b> Interactions with non-customer stakeholders (such as other agencies and regulators are also shaped by Current Operating Model and processes</p>	<p>Assess opportunities for improvement on how business is conducted with interdependent stakeholders and develop stakeholder-specific approaches to enhance interaction</p>	<p>Quality, consistency, expediency and improved stakeholder interaction</p>
<p><b>Processes are hindering communication with customers:</b> Current interaction and communication formats with customers are saddled by inefficient and fragmented processes</p>	<p>Launch an effort to assess current customer communication platforms and ensure that all documents, websites, etc. are clearly articulated and consistent with the new technology tools and regulatory delivery processes</p>	<p>Quality, consistency, expediency and improved customer service</p>





OPPORTUNITIES	RECOMMENDATIONS	BENEFIT
<b>RLMS governance is important:</b> RLMS is a new enterprise-wide system and consideration must be given to ongoing governance	Establish the RLMS governance model and frame it in the context of the early development and implementation of a new IT Operating Model that meets the needs of the divisions	Ongoing success of the RLMS implementation through releases and effective IT support

**Exhibit 27: Themes for Organizational Transformation**



## **SECTION 7 ATTACHMENTS**

### **7.1 ATTACHMENT I: RLMS STRATEGY ARTICULATION MAP PRESENTATION**

This attachment can be found on FDACS SharePoint [here](#)

### **7.2 ATTACHMENT II: FDACS ORGANIZATION CHART**

This attachment can be found on FDACS SharePoint [here](#)

### **7.3 ATTACHMENT III: FDACS IMPACTED POSITION ANALYSIS**

This attachment can be found on FDACS SharePoint [here](#)

### **7.4 ATTACHMENT IV: RLMS POSITION DESCRIPTIONS ANALYSIS**

This attachment can be found on FDACS SharePoint [here](#)

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**REGULATORY LIFECYCLE MANAGEMENT  
SYSTEM – PRE-DESIGN, DEVELOPMENT,  
AND IMPLEMENTATION PROJECT**

*D5B-C Workforce Training and  
Transition Plan*

Date: 3/18/2016  
Version: 100



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**Revision History**

DATE	AUTHOR	VERSION	CHANGE REFERENCE
01/12/2016	North Highland	001	Initial draft
02/22/2016	North Highland	002	Content drafted to align with DED
02/24/2016	North Highland	003	Draft modified to improve readability and flow
03/02/2016	North Highland	004	NH QA Review
03/10/2016	North Highland	005	Remediation after NH QA Review.
03/14/2016	FDACS	005	FDACS Review
03/17/2016	North Highland	006	Remediation after FDACS Review.
03/18/2016	North Highland	100	Baseline

**Quality Review**

NAME	ROLE	DATE
Jennifer Pang	North Highland QA	03/09/2016



## SECTION 1 INTRODUCTION

North Highland has been asked to assess the Regulatory Lifecycle Management System (RLMS) Project Workforce Transition needs and to create a strategy that facilitates change. The Workforce Training and Transition Plan (Deliverable D5B-C) is the blueprint for successfully delivering against this strategy. The two main components – the Workforce Training Plan and the Workforce Transition Plan – encompass the activities that must be carried out to ensure employees have the knowledge, skills and abilities they need to operate successfully in the new work environment once the RLMS is in place, and the actions FDACS should take to transition its workforce to the new way of conducting and supporting regulatory lifecycle activities.

The Exhibit below depicts North Highland’s Workforce Transition workstream and shows how related deliverables build off information gathered and analyzed throughout the Project.



**Exhibit 1: Workforce Transition Workstream**

Additionally, the Workforce Transition workstream analysis and deliverables are also used by the North Highland team to develop the Organizational Change Management (OCM) activities; to assess how the needs of stakeholders can be addressed throughout the Project; and to inform how the organization as a whole can respond to the changing environment of its workforce.

### 1.1 PURPOSE

The RLMS will change the way people work to complete activities across the regulatory lifecycle and the way this technology is supported across the department. With the anticipated improvement in system capabilities such as workflow, business rules, mobile access and self-service, data entry tasks will shift from FDACS staff to the customer, offering FDACS staff the opportunity to spend more time on higher-value duties, and for staff in the field to move towards paperless workflow and real-time data entry into the RLMS.

The purpose of the Workforce Training Plan, Section 3, is to define the proposed strategy and approach to training for rolling out RLMS Release 1; the major training areas of identified need (by role / process); the preferred types and styles of training see [Stakeholder Analysis, OCM Assessment and Plan \(Deliverable D4A-B-C\)](#); and an outline training plan with measures of success and expectations for RLMS Vendors / System Integrators (SIs).



Additionally, the Workforce Transition Plan, Section 4, defines the activities and high-level visual roadmap needed to ensure:

- FDACS RLMS End Users have the needed knowledge, skills and abilities to perform their roles when the new system and ways of working are rolled out.
- FDACS IT staff performing regulatory lifecycle application support roles have the correct knowledge, skills, abilities and operating model to perform their roles.

The efforts described in the Workforce Training and Transition Plan inform FDACS staff about defined and observed training and transition needs gathered throughout the development of the other OCM and Workforce Transition deliverables. Strategies to address these needs are the foundation for ongoing training activities in alignment with the continued organizational development for RLMS. As the RLMS is implemented and as it evolves, FDACS can update the Workforce Training and Workforce Transition Plan to align with the strategy, as needed.

It is expected that Contractors that compete to develop and implement the RLMS will respond to the contents of this document as part of creating the training plan component of their ITN response.

## 1.2 DESCRIPTION

As previously stated, this document (Deliverable D5B-C) develops key components that are critical for executing training and workforce transition activities in support of RLMS deployment:

- The Workforce Training Plan
- The Workforce Transition Plan

**Section 3: Workforce Training Plan.** This section presents the strategy and approach for developing the Workforce Training Plan for RLMS. The plan is composed of the identification of learner groups (Section 3.3), [Attachment I Learning Matrix](#) (Section 3.4) and key post-implementation support considerations including measurement of training effectiveness (Section 3.5). Additionally, infrastructure needs are addressed (Section 3.7) and components of the Training Cost Model are identified (Section 3.8).

By its dynamic nature, the Learning Matrix is intended to be a living document throughout the deployment of the RLMS releases, and can be expanded and revised as necessary by individuals who hold RLMS Training roles.

**Section 4: Workforce Transition Plan.** This section defines the key activities related to supporting FDACS RLMS End Users and IT resources for acquiring new knowledge and successfully adopting the new system, and presents a high-level visual roadmap needed to ensure and guide coordination, timing and sequence of Workforce Transition Plan execution.





### 1.3 SCOPE STATEMENT

The scope of the entities addressed in this deliverable includes individuals, teams and functions within FDACS that perform regulatory lifecycle-related activities. This includes FTE (Full-Time Equivalent), OPS (Other Personal Services) and temporary staff positions that will be using the RLMS.

Areas in scope for RLMS Release 1:

- Division of Licensing (DOL)
- Related revenue collection, processing and mailroom roles / activities in the Division of Administration (DOA)
- Office of Agricultural Law Enforcement (AgLaw) for the regulatory investigative activities it performs on behalf of DOL

Areas in scope for future RLMS releases:

- All other bureaus or programs within divisions or offices which perform regulatory lifecycle-related activities

Areas not in scope:

- Any bureau or program within a division or office which does not perform regulatory lifecycle-related activities
- Inspections carried out by the Division of Fruit and Vegetables (F&V) on behalf of the USDA (e.g., tomatoes and peanut grading)

## SECTION 2 NORTH HIGHLAND APPROACH / ASSUMPTIONS

### 2.1 APPROACH

North Highland has taken an incremental and iterative approach to developing this deliverable, with the initial effort focused on RLMS Release 1. This document aims at assisting the department in framing and addressing its workforce transformation skills and capabilities needs along the RLMS implementation journey.

Activities North Highland has performed specific to this deliverable:

- Developed an outline Training Strategy, Guiding Principles and Approach
- Created an RLMS-specific Learning Matrix, leveraging the RLMS Enterprise Functional Capabilities Model (EFCM) and the RLMS Workforce Vision and Guiding Principles (in the Workforce Transition Analysis Deliverable D5A in Section 7, Appendix II and the Business Process Re-engineering (BPR) workstream Use Cases)
- Developed elements of a budgetary cost model to feed into the project cost model



- Identified workforce transition activities, sequencing and milestones

### Inputs:

- RLMS Enterprise Functional Capabilities Model (EFCM) from the [Workforce Transition Analysis \(Deliverable D5A\)](#)
- Information on preferred training approaches by division, in Section 4 of the [Stakeholder Analysis, OCM Assessment and Plan \(Deliverable D4A-B-C\)](#)
- Outputs from the high-level regulatory lifecycle skills assessment and the development of the role profiles (from [Deliverable D5D- Role Based Skill Assessment and Gap Analysis](#)), in Section 4
- Meetings / calls / briefings / workshops with leadership from DOL, DOA and the Division of Consumer Services (DCS)
- Training and Development
- Input from other workstreams (BPR, Systems and Data).
- North Highland experience with technology-driven workforce transformation
- Current and in-depth knowledge of the State of Florida and its agencies
- Methodology and management implementation training and workforce transition best practices
- Coordination across RLMS project workstreams for developing the Workforce Transition Timeline and Roadmap in this deliverable

### Outputs:

- Training Strategy and Approach
- Recommendations for training / model / media type
- A Learning Matrix with Training Modules by role
- Measures of Success
- A strategy for post-implementation support
- Identified infrastructure needs to be addressed as part of the RLMS Project
- Components of a budgetary training cost model
- Workforce Transition Roadmap with a visual representation of key activities and milestones
- A description of activities and milestones required to transition the workforce



## 2.2 ASSUMPTIONS

The following assumptions underpin the development of this deliverable:

- The Workforce Transition Plan developed for RLMS Release 1 will be leveraged to develop similar transition plans for future RLMS releases.
- There is widespread support at the highest levels of responsibility in the department for the vision guiding this effort and for implementing the transition plan to achieve quality, consistency and expediency goals in regulatory services.
- The Workforce Training and Transition Plan is used as an input by the selected RLMS Vendor / SI / Contractor, to develop a training implementation plan (in conjunction with the FDACS Training and Development Section) that leverages the approach, strategy and recommendations.
- Recommended Training Modules are based on the Business Process Re-engineering workstream product – [D7A Use Cases](#).
- The RLMS Vendor / SI / Contractor will validate and supplement the suggested Training Modules based on ongoing development of the system.
- The Learning Management System (LMS), operated by the Training and Development section in DOA, will be the primary tool for managing all RLMS-related training activities.
- All training materials are developed either by the SI or the department.
- This document should be reviewed and updated periodically to keep pace with evolving RLMS implementation activities.
- Change Champions, as defined in the [Stakeholder Analysis, OCM Assessment and Plan \(Deliverable D4A-B-C\)](#), may also serve as Super Users.
- The system used by the SI to develop the Training Modules will integrate with the department's LMS for the purposes of management, coordination and tracking.
- The Computer-Based Training (CBT) curriculum developed for the RLMS can be accessed and completed at all geographic locations throughout the State.
- Tax Collector Rollout of the Concealed Weapon Intake System (CWIS) for initial application submissions and the Concealed Weapons Renewal Express (CWREX) for renewal application submissions will be complete prior to the RLMS Release 1 Go-Live.

## SECTION 3 WORKFORCE TRAINING PLAN

### 3.1 GUIDING PRINCIPLES

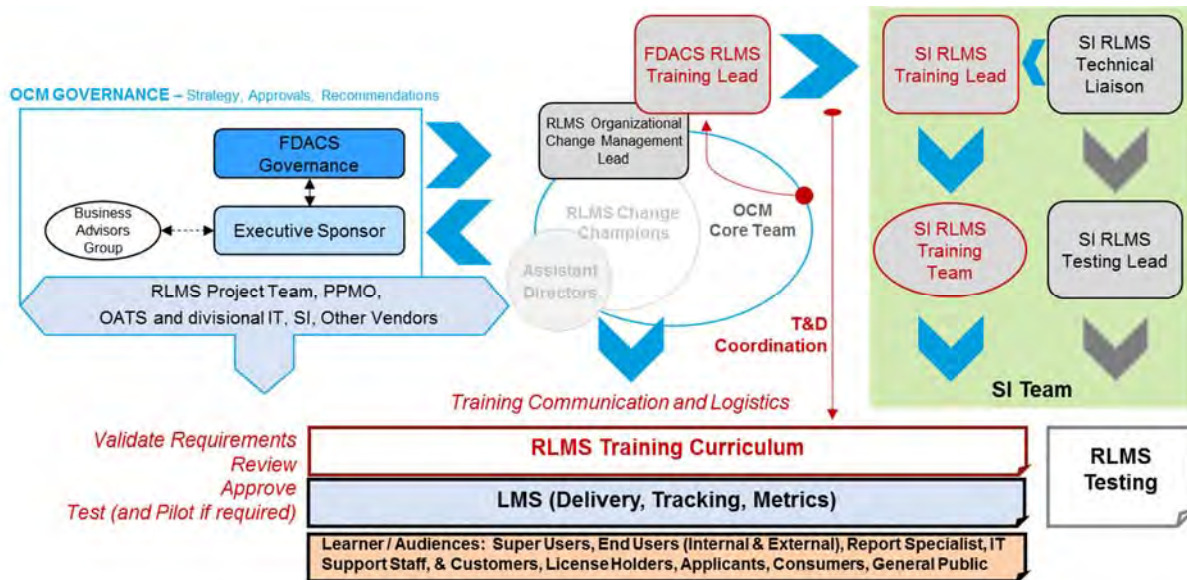
The following guiding principles set the framework for a training strategy and approach to ensure RLMS users are able to perform their roles in the new environment and derive maximum benefits from the system.



- The Workforce Training Plan:
  - › Is established from a competency-based model (See [Deliverable D5D-Role Based Skill Assessment and Gap Analysis](#)).
  - › Is designed to be flexible and adaptable to incorporate lessons learned during the ongoing RLMS-driven transformation journey.
  - › Is aligned to changing business needs.
  
- FDACS Training and Development section within DOA retains responsibility for the Business Skills training for users.
- The FDACS RLMS Training Lead (see Section 3.2) is responsible for working with divisional leadership and Subject Matter Experts (SMEs) to develop regulatory policies and procedure training, division-specific training, on-boarding training, workflow and business rules training and points of manual data exchanges (non-system handoffs).
- Division staff act as SMEs to define process and procedural content to be included in training design (Training Module curriculum) and development (training materials).
- The divisions are responsible for regional office process and procedure training and on-boarding.
- Training is provided in a cascading model where Super Users are trained first, and End Users are trained next with support from Super Users.
- Training is provided in a blended delivery model where the best suited training medium is used to deliver training to learners.
- Training is provided just-in-time, so that learning is recent and can be applied soon after skills acquisition.
- Training curriculum and content is refined and evolved through releases to match with the expanding functionality of the enterprise system.
- Every six months the RLMS curriculum is reviewed and updated to reflect the most current process in the RLMS (including any training content remediation).

### 3.2 TRAINING STRATEGY

Training development, delivery and management reflects a highly integrated set of activities involving the SI, the FDACS Training and Development section, the divisions, and the RLMS Project Team. The diagram below shows the RLMS Training Functional Model and overall interactions of the parties (with a supporting Exhibit to define the roles).



**Exhibit 2: RLMS Training Functional Model**

The table below provides a description of the major roles and corresponding responsibilities that are part of the overall training strategy.

ROLE	RESPONSIBILITIES
FDACS RLMS Training Lead	A member of the OCM Team who is specifically designated as the Training Lead. This person will work with the Training and Development Training Lead and the SI Training Lead to ensure the curriculum and training to be developed by the SI is coordinated with other project activities and department priorities. This person is responsible for assisting the OCM Lead with communication regarding training. The RLMS Training Lead will monitor training development, review, approval and delivery to help maximize training effectiveness.
Training and Development Training Lead	A member of the Training and Development staff who will work with the RLMS Training Lead and the SI Training Lead to leverage the capabilities of the LMS. This person will help with the tracking and monitoring of the training activities.
SI Training Lead	A full-time SI staff member exclusively dedicated to the development and delivery of RLMS Training as outlined in this plan and agreed to by the department. This person will oversee the SI Training Team and coordinate Training activities with the RLMS Training Lead and Training and Development Training Lead.
SI Training Team	A staff of fully dedicated SI FTEs responsible for RLMS curriculum development and training delivery.
SI RLMS Technical Liaison	A staff member of the RLMS SI technical staff who is responsible for assisting the SI Training Team develop training curriculum that reflects the current functionality of the deployed system.



ROLE	RESPONSIBILITIES
SI RLMS Testing Lead	Responsible for ensuring that User Acceptance Testing (UAT) is extended to the Super Users, and that Super User UAT feedback is incorporated into the system design, and UAT Tester Training.  <i>Note: An important part of this training strategy is the involvement of Super Users in the User Acceptance Testing process and for the purposes of this plan, the training normally provided to UAT testers and the testing process itself, is considered additional training for Super Users.</i>
LEARNER GROUPS	DESCRIPTION
Super Users	A group of FDACS employees that have been specifically selected to learn about the RLMS System in depth and have agreed to provide onsite support and coaching to staff during Go-Live and Post-Implementation. Super Users should represent each geographical area or functional work group.  Frequently, the same individuals selected as Change Champions will often serve in this role.
Internal End Users	FDACS employees who will use RLMS.
External End Users	People who use RLMS but are not directly employed by FDACS (i.e., tax collectors' staff).
Reporting Specialists	Internal End Users who are required to generate reports or data analysis other than those found in the standards RLMS reports.
IT Support Staff	Support and maintain RLMS after the warranty period.
Customers, License Holders, Applicants, Consumers, General Public (Customers)	Customers, License Holders, Applicants, Consumers, General Public. Any individual who is requesting or receiving a service from FDACS, or is impacted by the RLMS.

### Exhibit 3: RLMS Training Roles

As part of the OCM Team, the FDACS Training Lead works with FDACS Training and Development representative(s) to coordinate the SI's development and delivery of RLMS Training Modules. Similarly, the SI will provide a Training Lead, staff the SI RLMS Training Team, and provide technical support as needed to ensure quality curriculum development for a variety of learners / audiences.

The expectation is the SI will develop a curriculum that promotes the learner / audience's participation, measures and tracks progress with the department's LMS, and if possible, uses the LMS for the curriculum delivery. While the majority of curriculum is to be developed as CBT modules suitable for End Users, it is also anticipated the SI will develop specialized, instructor-led training for Super Users, Reporting Specialists and IT Staff supporting regulatory applications. Additionally, the SI is expected to develop online tutorials and training videos for Customers, and provide contextual help in the RLMS application (if possible).

As discussed in [Deliverable 5A – Workforce Transition Analysis](#), the focal point for driving alignment to achieve the goals of the RLMS Future Workforce Vision is competencies. There



are three key dimensions to competencies that are critical in any workforce transformation effort:

- Assessing and ensuring employees have the necessary skills to meet the needs of the customer and the organization
- Defining and providing any needed training and coaching to meet the desired competency thresholds
- Ensuring competency mastery is clearly mapped to career development and opportunities for employees

The overall RLMS Training Strategy can be defined as “ensuring the right resources receive the right level of systems- and related training at the right time to be comfortable and successful in using the new system.”

### 3.2.1 TRAINING RESPONSIBILITY

The Exhibit below (also available in the ‘Module Mapping’ tab of [Attachment I: RLMS Learning Matrix](#)) outlines the potential RLMS Training Modules (to be reviewed by the SI and aligned to existing training curriculums they deploy). These modules are primarily based on the Use Case scenarios developed by the BPR workstream and, where relevant, they are color coded to key regulatory lifecycle areas, and assign training accountability for each currently identified module.

Key concepts / assumptions at the core of this schematic and the Workforce Training Plan developed in this deliverable:

- General system-related training modules are needed to ensure effective use of the system. **Core System Functionality** (general users) and **System Administration** (for individuals responsible for updating and managing information in RLMS) modules are not regulatory lifecycle activities-specific. Training accountability for these resides with the SI.
- The SI is also responsible for most regulatory lifecycle-related Training Modules that highly leverage RLMS functionality – **Regulatory Lifecycle-Specific Modules**.
- The following training modules are expected to be the responsibility of the divisions:
  - › **Customer Service & Stakeholder Interaction** – which is key to department's culture and ways of working.
  - › **Regulatory Policies, Procedures, Statutes & Rules** – which represent base knowledge requirement for performing a division's responsibilities.
- Training for **Business Skills** is the responsibility of Training & Development and is out of scope in this deliverable. This department function is already engaged on execution of business skills development and is launching a new LMS.



	Potential RLMS Training Modules	Primary Mapping to Key RLMS Areas	Training Accountability
<b>System Functionality</b>	System Navigation and Search Generate Correspondence Self-Service Portal Business Rules & Workflow User Administration Rules & Roles System Administration & Configuration	Core System Functionality Core System Functionality Core System Functionality System Administration System Administration System Administration	<b>SI</b>
<b>Regulatory Lifecycle-Specific Modules</b>	Create Account Create Online Account Intake Application Intake Correspondence Verification Research & Resolve Error & Omission Response Coordinate & Schedule Inspection Conduct Inspection Undertake Investigation Register Complaint Administrative Action Legal Intake Legal Review & Hearings Apply Payment Refund Response Reporting Overview Report Creation & Maintenance Customer Service & Stakeholder Interaction Regulatory Policies, Procedures, Statutes & Rules	Application & Licensure Application & Licensure Application & Licensure Application & Licensure Application & Licensure Application & Licensure Application & Licensure Compliance & Inspection Compliance & Inspection Regulatory Investigations Enforcement & Administrative Action Enforcement & Administrative Action Enforcement & Administrative Action Enforcement & Administrative Action Revenue Collection & Financial Management Revenue Collection & Financial Management Reporting, Analytics & Insight Reporting, Analytics & Insight Customer Service & Stakeholder Interaction Regulatory Policies, Procedures, Statutes & Rules	<b>SI</b>                   <b>Division</b> <b>Division</b>
<b>Business Skills</b>	Communication & Influencing Leadership & Setting Direction Innovation & Change Decision Making & Managing Ambiguity Resource Management & Supervision	Communication & Influencing Leadership & Setting Direction Innovation & Change Decision Making & Managing Ambiguity Resource Management & Supervision	<b>Training &amp; Development</b>

### Exhibit 4: Potential RLMS Training Modules and Training Accountability

The mapping format and language in the Exhibit above is also reflected in the structure of the Learning Matrix developed in Section 3.4.

### 3.3 TRAINING APPROACH

The SI is expected to work with the RLMS Project Team Training Lead and the FDACS Training and Development section to ensure that the training plan is comprehensive and addresses all known learner / audience needs.

This Training Approach relies on a blended delivery model that provides System Functionality, Regulatory Lifecycle Technical Skills, and Business Skills to the appropriate learner population. The approach significantly leverages Super Users as mentors and Computer-Based Training as primary avenues for training delivery.

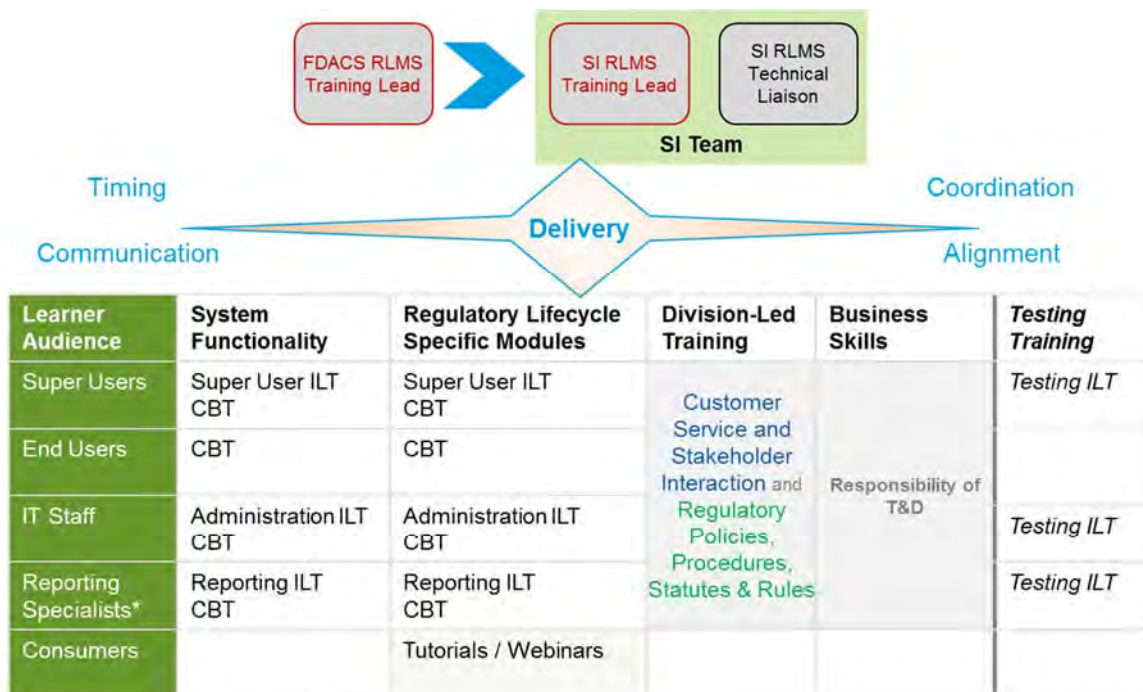
Key elements of the training approach:





- Provide common overall introductory system training;
- Train on policy, workflow, and business process prior to system training;
- Provide System Training and Regulatory Lifecycle skills training;
- Utilize the most appropriate mechanisms for delivery of training;
- Ensure training is delivered at the right time and to the right audience;
- Create relevant and useful supporting resources (manuals, quick start guides, job aids, and videos);
- Provide specialized, in-depth reporting and analytics training to select individuals.

System Functionality and Regulatory Lifecycle Technical Skills training development and delivery is primarily the responsibility of the SI, and encompasses all the new information RLMS system users will need to possess in order to operate the new system. At a minimum, the SI will train Super Users, End Users, IT Staff and Reporting Specialists, and will create customer self-service web tutorials for main customer interfaces.



ILT – Instructor-Led Training  
 CBT – Computer-Based Training  
 \* Reporting Specialists will be drawn from Learner Audiences

### Exhibit 5: RLMS Training Approach by Area and Audience

The approach to training for each group of learners or audience in the table above is discussed with additional detail in the following sections.



### 3.3.1 SUPER USERS

For the purposes of RLMS Release 1 (and as needed for subsequent releases) the expectation is the SI will train a group of FDACS future RLMS users (~100 for Release 1) who, after intensive training, will be able to serve as:

- User Acceptance Testers (Internal Users).
- Training support resources for their work areas or functional team.
- Operational support resources during the system rollout and Go-Live.

The number of Super Users for each work area or functional team is distributed at the discretion of the department, but a general distribution is recommended as follows:

WORK AREA / FUNCTIONAL TEAM	DISTRIBUTION	TOTAL
Regional Offices (8)	1-2 per Regional Office, depending on size and number of users	8-16
Tax Collectors	1 per Tax Collector's Office	40
Bureau of License Issuance	1 per section (2 in 790, 3 in 493)	5
Bureau of Regulation & Enforcement	1-2 in Legal; 1 in Compliance Review ; 2 in Regulatory Review	5
Bureau of Support Services	1 in Fiscal; 2 in Document Support	3
Public Inquiry	3 in Public Inquiry	3
AgLaw	Distributed as needed (2 per region)	8
DOA	1 for Mailroom	1
IT Staff (Application Support)	Distributed as needed	6
IT Staff (Service Desk)	Distributed as needed	4
<b>Total</b>		<b>83-91</b>

#### Exhibit 6: Suggested Distribution of Super Users

Training for Super Users is conducted in group format, in a face-to-face setting via instructor-led training (ILT):

- Held in at least 3 geographically distinct areas of the state (north, central and south).
- Conducted in a setting where Super Users are walked through the applicable system business rules and processing.
- Provided in a setting where Super Users are given opportunities to ask questions and thoroughly develop their understanding of the system.

Super Users are also expected to complete all the modular training developed for End Users.

*Note: It is recommended that Super Users participate in a structured review of the CBT training materials prior to acceptance by FDACS. It is also recommended after their initial training, Super Users participate in system, integration and user acceptance testing as part of their learning reinforcement.*



Super Users are critical front-line support resources during system rollout and Go-Live, acting as Level 1 support for End Users who exhaust built-in system help features and any local supervisory assistance.

Super Users participate in reporting defects and coach End Users on how to use the system, how to use approved workarounds, and help End Users open service desk tickets or open tickets on the End User's behalf during Go-Live. After rollout and Go-Live, Super Users will continue to meet in weekly (or as needed) conference calls to discuss system updates, defect corrections and / or additional system releases.

*Note: The department may want to require the SI to develop a modified version of the Super User Training that is customized for tax collector Super Users. This training may be shaped differently to address the limited regulatory lifecycle functions performed by the tax collectors' staff and may be used in place of the current train-the-trainer approach.*

**Recommended Training Mode / Media Type:** Face-to-face setting via ILT, CBT, User Acceptance Testing and Instructor-led Tester Training, On-the-Job Training.

### **3.3.2 END USERS (INTERNAL AND EXTERNAL)**

The SI will be expected to leverage the FDACS LMS to develop, deliver, monitor and track CBT modules for System Functionality and Regulatory Lifecycle Technical Skills. Exhibit 4 above outlines the recommended Training Modules that are the responsibility of the SI. The SI will review and validate the list of recommended Training Modules and, in agreement with the department, will develop a plan to deliver training customized to the final system design.

It is expected the CBTs will guide learners through the modules and test a learner's mastery of the information at the end of the modules. It is also anticipated the modules will be available for learners to return to as needed to refresh their learning. The modules need to allow learners to complete partial lessons and begin again where they left off upon their return to the module.

End User training should be provided no less than four weeks prior to the Go-Live date and no earlier than eight weeks before system rollout. The Training must be available electronically, state-wide – thereby mitigating the need to travel.

The department will monitor CBT training and provide refresher / reinforcement training on topics where staff are consistently challenged.

*Note: External End Users (i.e., the tax collectors' staff), by nature of their limited Regulatory Lifecycle Management responsibilities, will be required to take a smaller set of CBT modules.*

**Recommended Training Mode / Media Type:** CBT, Super User coaching and mentoring, on-the-job training, webinars and conference calls.



### 3.3.3 IT SUPPORT STAFF

Because the RLMS is going to eventually be handed over from an SI to the department, there is a need to specify training courses for those people who are going to have IT operations and maintenance responsibilities for the system. The following roles require specialized training the SI needs to develop and deliver during the RLMS Project. Some of the on-the-job training may be most effectively delivered by having these roles work alongside or shadow the SI vendor staff at an appropriate point in the Project. In addition, as with Super Users, these roles will need training on the SI-provided defect logging and tracking system.

It should be noted, the IT support staff roles outlined below are potential examples as the Future IT Operating Model for RLMS has not yet been defined; however, they do cover the major functional areas required for FDACS to provide effective ongoing support of the RLMS.

#### **Application Administration** (Configuration / Static Data / User Access)

The expected responsibility for this role type will be the ongoing maintenance of the RLMS static data (e.g., license types, locations and demographics), the configuration of agreed future enhancements, and the maintenance of user access (e.g., role definitions, adding users to groups, security levels).

To this end, these roles need detailed training on the application administration modules, specifically around user administration, configuration, the business rules and workflow, as well as an overview of the total functionality of the RLMS.

**Recommended Training Mode / Media Type:** Face-to-face setting via instructor-led training, CBT (for overview modules), On-the-Job Training.

#### **Business Analyst** (Workflow & Business Rules / Reporting)

The Business Analyst role is expected to work with the Super Users and leadership in the divisions to assist with the capture, documentation and testing of future enhancements, along with any changes required to workflows or business rules due to changes in policy, procedures or organizational structure. The Business Analyst will also work with those roles identified as reporting specialists to assist with the development, testing and refinement of reports from RLMS. There is an option for this role to continue as part of ongoing Project support.

To this end, individuals serving in the Business Analyst role need training on the Workflow and Business Rules module, along with an overview of the application architecture, to understand what is feasible and not feasible when it comes to future enhancements. This role would also need to understand the overall functionality of the system; therefore, it is suggested resources assigned to this role take all training modules.



**Recommended Training Mode / Media Type:** Face-to-face setting via instructor-led training, CBT, On-the-Job Training.

#### **Technical Support** (Service Desk / Infrastructure Support)

The SI will make available Training Modules for IT support staff who are going to be providing first and second / third line support. This will include those resources who are part of the IT service desk in OATS, as well as staff who in the long term will be managing any internal enhancement requests and configurations. The proposed outline to this approach is further detailed in the updated [Implementation Plan](#) and in Section 3 of this document.

IT service desk staff will need to have an overview of all functionality across the application, including the self-service portal, especially if the decision is made that technical support is going to be provided to customers, particularly in the initial rollout.

For any infrastructure and interface support roles, staff will need to have customized training depending on the application delivery model (e.g., On-premise versus Cloud), the types and nature of the interfaces of the systems and the tools provided to support ongoing data exchange.

**Recommended Training Mode / Media Type:** CBT, Face-to-face setting via instructor-led training, On-the-Job Training.

#### **3.3.4 REPORTING SPECIALISTS**

The SI is required to develop specialized reporting and data analytics user Training Modules designed for a face-to-face setting via instructor-led training. End Users who have a greater need for report creation, data queries, merging data from multiple sources, data analysis, trend reporting, predictive analysis and / or retrieving data from other systems require training beyond the general reporting CBT. This course should be offered multiple times prior to each release rollout. Over time, the department will take full ownership of this course curriculum and offer it as regularly scheduled training for FDACS employees.

**Recommended Training Mode / Media Type:** CBT, Face-to-face setting via ILT.

#### **3.3.5 CUSTOMERS**

For Customers and other external RLMS users, the expectation is that the SI develops a series of online training webinars / vignettes or tutorials that will be available through the FDACS website and other channels (such as YouTube). These Training Modules should demonstrate how Customers are able to utilize the new RLMS functionality, and highlight the differences between old processes and new processes.

**Recommended Training Mode / Media Type:** On-line, RLMS user interface tutorial / module, YouTube.



### 3.3.6 ADDITIONAL MATERIALS AND JOB AIDS

The SI Training Lead and Training Team are required to work with the FDACS RLMS Training Lead to develop additional material and job aids. These materials are distributed to learners as needed, and also posted on a department intranet site specifically designed for housing and presenting RLMS training information. Items that may be included on this site:

- An online module developed for new employee orientation and on-boarding to RLMS;
- RLMS Training Schedule;
- Frequently Asked Questions;
- Policy and procedure crosswalk from current state to future state functionality;
- OCM communications collateral;
- RLMS quick reference cards;
- Quick Start guides;
- Known issues and workarounds (during rollout and Go-Live).

### 3.4 RLMS LEARNING MATRIX

The RLMS Learning Matrix has been developed to accomplish a number of purposes. It should be used by:

- SI vendors to shape their response on how they will staff their SI Training Team and how they will develop and deliver RLMS-related training.
- FDACS Training and Development to plan how they will meet the demand for Business Skills Training.
- Divisions to understand and plan for their role in preparing RLMS users to be ready to complete their work in the new system.

The Exhibit on the next page shows a snapshot of the RLMS Learning Matrix. The full version can be found in [Attachment I: RLMS Learning Matrix](#).

It contains the following components:

- **Activity Area** – Grouping by a combination of process areas (e.g., Intake and Fiscal), and organizational area (e.g., Regional Offices).
- **Regulatory Lifecycle Functional Roles** – These are the same roles as defined in [Deliverable D5D – Role-Based Skills Assessment and Gap Analysis](#).
- **# Positions** – The number of individuals that are included in that group or team.
- **Recommended Training Modules** – Across the top of the matrix recommended Training Modules are listed. The majority of the recommended modules are based on the Use Case scenarios developed by the BPR team and, where relevant, they are





### 3.5 MEASURES OF SUCCESS

For the purposes of tracking and scheduling training, it is anticipated the departmental LMS system will be used. LMS competency measurement capabilities should be enabled to track individual levels of competencies and gaps that need closing throughout RLMS implementation. The LMS, hence, will be used to track achievement / mastery of each module and provide metrics, such as completion rates, which can be used to help assess levels of organizational readiness.

Data collected from the Change Readiness Surveys (recommended in [Deliverable D4D-E Communications and Change Readiness Plan](#)) can be examined alongside performance data from the LMS. This analysis can be leveraged to further evaluate organizational readiness and assess whether gaps in readiness are being closed via the completion of training. Metrics that demonstrate a lack of proficiency, or show difficulty learners may experience while progressing through the curriculum, can be used to inform refresher or just-in-time training to achieve desired readiness and address any other learning-related issues prior to Go-Live. These just-in-time trainings can be offered by the department via webinar, conference call or other communication medium.

Training is about influencing business performance by improving individual and group performance through the achievement of new knowledge or skills. Some suggested measures and metrics to track this performance are listed in the Exhibit below:

MEASURE	HOW	SUGGESTED METRIC TARGET	IMPORTANCE
Number of individuals completing by module	LMS data	100%	Leading up to Go-Live, it is important to track who has completed their required training. Individuals who have not completed training prior to Go-Live should not be allowed to use the new system until training is complete.
End User performance by skill	LMS data	95% pass rate on each module	Leading up to Go-Live, it will be important to monitor End User performance by skill or competency on module completion.  Module elements with a high number of incorrect responses, or modules that show a high frequency of user repetition, or modules that cannot be mastered are targets for reinforcement training or just-in-time training.
Participant assessment of individual modules	Course Evaluation	TBD	End-of-module evaluations with low scores should be used to target training modules to be revised or refreshed.





MEASURE	HOW	SUGGESTED METRIC TARGET	IMPORTANCE
Effectiveness of training	Change Readiness Assessment Questions	Avg. Score >1 in the relevant questions	Learners will have an opportunity after training to participate in readiness assessment(s) and share their insights about the effectiveness of training. Any scores below a "1" for the following questions should initiate a follow-up and a review of the training materials: <ul style="list-style-type: none"> <li>I know where to go to find out more information about RLMS.</li> <li>I have a clear understanding of the skills I will need to perform my role with the new system.</li> <li>I am being given the necessary training to help me perform my role with the new system.</li> </ul>
Confidence in the use of the system	Change Readiness Assessment Questions	Avg. Score >1 in the relevant questions	Learners will have an opportunity after training to participate in the readiness assessment(s) and share their insights about their ability to use the new system. Any scores below a "1" should initiate a follow-up and review of the training materials: <ul style="list-style-type: none"> <li>I have the ability to implement the new skills to use the new system.</li> <li>I have practiced performing with the new system.</li> <li>I can get support when I have problems and questions.</li> </ul>
Customer Service / Satisfaction	Online survey / Self-Service Portal site-based survey	TBD	Once customers begin receiving services via the new RLMS system, they need to be randomly surveyed to assess the effectiveness of the Customer Service & Stakeholder Interaction Training Module.
End Users' ability to correctly complete Regulatory Lifecycle activities	Number of End Users' incidents raised to Service Desk with regard to use of RLMS	A decreasing trend of received service desk calls	The trend of service desk calls being received regarding End User processing should decrease over time. A decreasing trend of service desk calls will indicate that training is being reinforced with on-the-job experience with the system. An increasing trend in service desk calls will indicate a need for improved training.
End User errors in using the system	RLMS metrics	A decreasing trend of error found in RLMS processing metrics	Metrics available from the RLMS will reveal problem areas to be targeted for additional or modified training.



MEASURE	HOW	SUGGESTED METRIC TARGET	IMPORTANCE
Number of Service Desk requests / complaints regarding use of the self-service portal	Service Desk metrics	TBD	<p>It will be important to track Consumer complaints and understand Customer difficulties and experiences using the self-service portal.</p> <p>If the online tutorials are not supporting ease of use of the self-service portal, they should be revised based on Customer feedback.</p>

**Exhibit 8: Suggested Measures and Metrics**

*Note: During the procurement the department should negotiate with the SI to mutually develop / enhance and formalize the Suggested Measures and Metrics to be captured to support training evaluation and continuous improvement.*

**3.6 POST IMPLEMENTATION SUPPORT**

**3.6.1 APPROACH**

After the RLMS system is operational, post-implementation training support should consist of continuation of Training Support Roles, along with continuous improvement of the training process and content, all supported by ongoing tracking and reporting on the previously described measures and metrics.

**Continuation of Training Support Roles**

During Post-Implementation, the department should assess the need for continuation of the training support roles that have been established for Release 1, and address any training support gaps that will occur as the SI Training Team decreases its support capacity. The table below outlines the assessment criteria and corresponding recommendations for continuation of the training support roles required to successfully operationalize the RLMS.

ASSESSMENT AREA/ISSUE	RECOMMENDATION
<p>Does the department need to maintain:</p> <ul style="list-style-type: none"> <li>▪ Training and Development Training Lead</li> <li>▪ Staff assigned to coordinate and deliver Business Skills Training</li> <li>▪ Staff coordinating the use of the LMS to support the RLMS</li> </ul>	<p>Maintain current recommended Release 1 roles and responsibilities</p>



ASSESSMENT AREA/ISSUE	RECOMMENDATION
Does the RLMS Training Lead continue to have responsibilities in future Releases?	RLMS Training Lead should continue current responsibilities for future releases (or be reestablished at the recommended Release 1 level of responsibility and activity).
Will Super Users be maintained as system enhancements are made and introduced to users?	Super Users should maintain their role, but at a lesser capacity from their peak level of activity until the department anticipates no further major enhancements to the system. <i>Note: New Release 2 Super Users will need to be named and trained for the role just as they were for Release 1.</i>
Will the Super Users for tax collectors' offices retain their responsibilities?	Super Users for tax collectors' offices should maintain their role, but at a lesser capacity from their peak level of activity until the department anticipates no further major enhancements to the system. <i>Note: For future release, new Super Users will need to be identified for each office that will be implementing RLMS and trained alongside other Super Users.</i>
How will CBT and ILT curriculum be kept up-to-date as system enhancements are released?  How will CBT and ILT curriculum be refreshed for future releases? How will the next group of Super Users be trained?	The SI Training Lead and the SI Training Team may reduce the number of staff once the Release 1 curriculum is finished and deployed, but a subset of staff must be maintained to refresh CBTs and ILTs as enhancements are made to Release 1. For future releases, the SI Training Lead and SI Training Team should be staffed to resume all training coordination and delivery requirements including CBT and ILT curriculum and Super User Training.

### Exhibit 9: Training Support Roles Assessment Criteria and Recommendations

In summary, RLMS training resource / capacity and roles should be maintained at reduced levels following Release 1, and should be reestablished to levels recommended for Release 1 with each new Release. Two areas that deviate from this pattern are the Training and Development roles and responsibilities, which should be maintained at current levels throughout the department-wide RLMS deployment, and the SI curriculum development staff which may be reduced after Release 1.

#### Continuous Improvement and Training Adjustment

In an effort to continually improve all training efforts related to RLMS, the RLMS Project Team should survey the various stakeholder groups for information about the quality and effectiveness of the training they were provided. These results should be used in conjunction with data and measurements taken from the LMS, along with other relevant training-related surveys, and relevant service desk metrics to identify gaps in training, ways to consolidate and deliver training more effectively, and provide ideas for new training that should be developed. All mediums and modes of training should be evaluated for improvement opportunities no less than six months in advance of the next release so training materials and curriculum can be modified appropriately.



### 3.6.2 RECOMMENDATIONS:

- Any training material and courses will be updated and refreshed as new functionality is developed and rolled out.
- Training modules should remain available for eligible users to download. Recordings / webinars and ILTs should be made available online so that learners can use them as refresher training.
- All training materials developed through the DDI phase will be handed over to nominated members of the RLMS project team or designated training owners.
- Any policy and procedures that are developed by individual divisions (with emphasis for DOL and AgLaw) will include all needed references to the RLMS system.
- Once the department is solely responsible for creating enhancements to the RLMS, RLMS IT Support Staff will work with the divisions and Training and Development to coordinate training refreshment needs.

### 3.7 INFRASTRUCTURE NEEDS

This section explores infrastructure needs to meet training requirements. Three major themes emerge as the set of critical training infrastructure dimensions:

- Training Roles and Responsibilities – definition and assignment of roles and coordination dynamics;
- Delivery of Training – technology and other infrastructure resources;
- Evaluation and Continuous Improvement – measurement of training effectiveness and learnings for improvement of content and delivery.

The following Exhibit lists observations and opportunities, grouped around the themes above, for strengthening the current FDACS infrastructure to support a successful RLMS implementation with recommendations to help ensure the success of the proposed training approach.

OPPORTUNITIES	RECOMMENDATIONS
<b>TRAINING ROLES AND RESPONSIBILITIES</b>	
The training approach and model presented in this deliverable allow the department to identify clear training-related roles.	Documented and agreed training roles and responsibilities need to be communicated across RLMS teams, and resources need to be assigned.
Training is an integral part of Organizational Change Management, and Exhibit 2 outlines relative roles and coordination dynamics.	FDACS should dedicate a Project Team member to support the OCM Team for the purposes of training communication and coordination.



OPPORTUNITIES	RECOMMENDATIONS
<p>The department and North Highland have given deliberate consideration to the governance and coordination needs across teams assigned to RLMS implementation activities.</p>	<p>The developed agreed lines of communication between the OCM Team and RLMS Governance roles ensure smooth interaction of training elements.</p> <p>Coordination and accountability strengthen the OCM Governance Model and support the training governance.</p>
<p>The SI will bring training resources to the RLMS Implementation.</p>	<p>The department should make the design, development and delivery of the RLMS training the responsibility of the SI (for the module in scope for the SI per Exhibit 4 above) and ensure that the SI coordinates training with the FDACS RLMS Training Lead, and the Training and Development training representative.</p> <p>The SI will be accountable for ensuring the training is fully tested and approved in advance of training deployment.</p>
<p><b>TRAINING DELIVERY</b></p>	
<p>With the development of prior Workforce Transition and OCM deliverables, it is understood the Training and Development section is the owner of the LMS and has assumed responsibility for RLMS Business Skills training (already under their purview).</p>	<p>Additional staff may need to be brought on, even if only on a temporary basis, to assist Training and Development with the responsibilities associated with RLMS implementation support.</p> <p>The Training and Development section is a partner to the FDACS RLMS Training Lead and the SI RLMS Training Lead to ensure department-wide RLMS competencies-related training coordination occurs.</p>
<p>The department is in the process of implementing a new LMS with training delivery and tracking capabilities that can integrate with other (department and SI) RLMS Training activities.</p>	<p>The department should complete the implementation of the LMS and plan to leverage the LMS to deploy RLMS Training and tracking.</p> <p>Harvest information from the LMS to inform decisions regarding RLMS Training.</p>
<p>There is limited capacity currently in the department to deliver training.</p>	<p>Plan to leverage the SI's capacity and expertise and reflect strategy and requirements in the development of ITN content.</p>
<p>Training needs will evolve over time and be defined by the SI in collaboration with the department based on project timing, training effectiveness feedback, types of learner groups to be phased in with each release, etc.</p>	<p>Capacity for training delivery needs to be monitored and assessed so appropriate levels of resources are deployed to ensure RLMS implementation success.</p>
<p><b>EVALUATION AND CONTINUOUS IMPROVEMENT</b></p>	
<p>RLMS implementation is a long-term effort for the department and its external partners, and there will be opportunities and the need to evaluate and further develop training materials.</p>	<p>Review training materials and refresh periodically.</p> <p>Review and refresh training materials prior to each release (or no less than every 6 months) so the curriculum always reflects the most current RLMS functionality.</p>



OPPORTUNITIES	RECOMMENDATIONS
<p>The LMS will allow the department to capture performance metrics by module and also provides the opportunity to gather related data that will enhance training development and delivery.</p>	<p>Fully deploy and leverage LMS capabilities to support RLMS implementation.</p> <p>Use the LMS to schedule, deliver, monitor and measure the training associated with RLMS.</p> <p>Develop a process and dedicate resources to address training topics that require additional explanation or reinforcement. This training can be provided as just-in-time training and webinars in the days and weeks prior to Go-Live.</p>

**Exhibit 10: Training Infrastructure Opportunities and Recommendations**

**3.8 COMPONENTS OF THE TRAINING COST MODEL**

The purpose of this section is to present the major cost considerations related to the implementation of the proposed training strategy.

Generally, training cost budgets capture three key cost categories:

- Training development costs (personnel, equipment).
- Direct delivery costs (training materials, technology costs, facilities, travel, equipment, instructor costs, etc.) and indirect implementation costs (related overhead).
- Reduced productivity and backfilling positions during training (e.g., for Super Users).

The Exhibit below captures categories of key cost components for training development and delivery for RLMS Training support. Cost estimates will vary based on the projected number of training events and the number of expected participants in training (both to be determined in conjunction with the SI).

TRAINING COST COMPONENT	CONSIDERATIONS
<p>Training materials</p>	<p>Direct costs related to the development of both electronic and paper-based training content and materials. These include the time and effort by resources, for both the SI and the department, for designing, producing and uploading training content; the direct costs of producing paper-based training materials; and any supplies needed for training activities.</p>
<p>Licenses for the training and other technology costs</p>	<p>Computer-based training often entails obtaining a sufficient number of licenses to execute training. Additionally, depending on the type and levels of available hardware at the department to deliver training, additional costs are often included to secure additional training stations and / or supporting connectivity technology.</p>
<p>Facilities</p>	<p>Several of the proposed training formats require access to facilities. The department needs to assess the training requirements and ensure that appropriate facilities are available and enabled. Additional costs may be</p>



TRAINING COST COMPONENT	CONSIDERATIONS
	incurred for securing physical space for training outside current available space.
Travel costs	There will be travel costs associated for RLMS-related training. While proper technologies and facilities can mitigate the need to incur travel costs, the training cost model needs to budget for, and reflect, potential training-related travel costs.
Department resources (backfill)	Many department resources will engage as either learners or trainers in key roles to support training development and delivery. The opportunity cost of these resources performing activities other than their current operations activities can be significant, and budget dollars need to be allocated to address the need to temporarily backfill these resources. For example, Change Champions and Super Users can be expected to be dedicated full-time to the RLMS Project during peak transition periods such as UAT and Go-Live.
External resource costs (SI, OPS)	SI and / or OPS resources will be deployed specially for training-related activities, and these costs should be captured in the cost model and refined through procurement.
Outreach activities for Customers and other External Stakeholders	RLMS-driven changes significantly affect the customer experience and other external entities with vested interest in regulatory-related outcomes. Department resources will have to provide guidance, if not training, and explanation of these changes to these constituencies in the form of presentations and assistance with acclimation to the new self-service process. These temporary additional support costs can be classified as training activities and need to be reflected in the training cost model.

**Exhibit 11: Training Cost Model Components**

The FDACS RLMS Training Lead is responsible for managing these cost components and for reporting budgetary status to involved parties.

**SECTION 4 WORKFORCE TRANSITION PLAN**

This section defines the key activities and provides the high-level visual roadmap needed to ensure the following:

- FDACS RLMS End Users have the appropriate knowledge, skills and abilities required to perform their roles when the new system and ways of working are rolled out.
- FDACS IT staff performing regulatory lifecycle application support roles have the right knowledge skills, abilities and operating model to perform their roles.

The intent for the Workforce Transition Plan is to have an easy-to-communicate timeline on a page, with supporting information about activities that will show the whole of the RLMS Release 1 DDI phase, and be useful to help explain project progress to Stakeholder Groups.



#### 4.1 WORKFORCE TRANSITION ROADMAP

For the Workforce Transition Roadmap, the implementation timeline is structured around iterative project releases. Each release implements regulatory capabilities for a specified set of business areas (e.g., the first release will involve the Division of Licensing and Division of Administration). Each release follows the same basic implementation lifecycle (Plan and Assess, Design, Develop, Test, Implement and Post Implementation). The timeline activities are organized by six implementation phases performed for each release lifecycle:

- **Plan and Assess** – Planning and preparation to facilitate the Design Phase;
- **Design** – Gather requirements, design processes, and solidify scope;
- **Develop** – Build the designed solution;
- **Test** – Test the designed solution;
  - › **User Acceptance** – Process-oriented testing of end-to-end business functions performed by client End Users
  - › **User Experience** – Non-technical testing designed to assess the system’s usability for client End Users
- **Implementation** – End User education, user acceptance, and migration activities;
  - › **Preparation** – Activities to ensure system and organization readiness for Go-Live
  - › **Go-Live** – Tasks used to transition the user community to the new system
- **Post-Implementation** – Transition from project mode into a live, supported production operation.

The Exhibit below provides additional detail on each release phase.

RELEASE PHASE	DESCRIPTION
Plan and Assess	The Plan and Assess Phase will be based on learning, new information, improved common understanding, and a dynamic business environment. Additionally, it is anticipated scope refinement and consequent recalibration will be required once the Process tasks are concluded in the Plan and Assess Phase. This will allow for more informed and effective planning of the work effort required to execute the Develop Phase.
Design	The objective of the Design Phase is to create a detailed description of FDACS’ business requirements, define the technical requirements to enable those business functions within the RLMS, and develop and begin implementing an approach to manage the impacts to the organization.
Develop	The objectives of the Develop Phase are to build / configure the system, conduct data migrations, and start preparing the organization for the impact of the changes. Building is comprised of configuring the system and creating development objects to address the specifications documented in the Design Phase.
Test	The objective of the Test Phase is to evaluate the system’s technical and functional compliance to specified requirements. The SI will be responsible for developing and executing a Test Management Plan appropriate for the solution and testing the system according to the approved Test Management Plan. This includes User





RELEASE PHASE	DESCRIPTION
	Acceptance Testing to ensure the system delivers the desired functionality and supports all requested processes, along with the User Experience testing to ensure the system is intuitive and easy to use.
Implement	The objective of the Implementation Phase is to prepare systems, processes and people for the rollout and subsequent operationalization of the new system. The implementation will include the activities supporting the Go / No-Go decision around system Go-Live, as well as operational readiness preparation such as training and internal and external communications. The overall purpose of implementation is to successfully move the system to production while ensuring the department and its stakeholders receive the maximum benefits from the RLMS Project. Implementation has been broken into two basic sub-phases: the steps needed to prepare for implementation, and the steps needed to perform the implementation (often referred to as Go-Live).
Implement – Preparation	The objective of Preparation is to verify readiness for production (Go-Live), including user acceptance, End User training, site preparation, system project management and cutover activities. Preparation serves as a last opportunity to address crucial open issues before Go-Live is reached.
Implement – Go-Live	After all the necessary implementation preparation steps have been completed (user training, data cleansing, etc.), implementation Go-Live tasks are used to transition the user community from the legacy applications to the new enterprise solution. Go-Live is the process of moving from a pre-production environment to a live production environment (going-live), and the beginning of transition of the production application to the support organization.
Post-Implement	Post-Implementation efforts are necessary to ensure gains are maintained and adoption is confirmed. Ongoing performance of actions in keeping with the direction agreed to at the end of each event is necessary to form a foundation for future improvements.

### Exhibit 12: RLMS Release Phase Descriptions

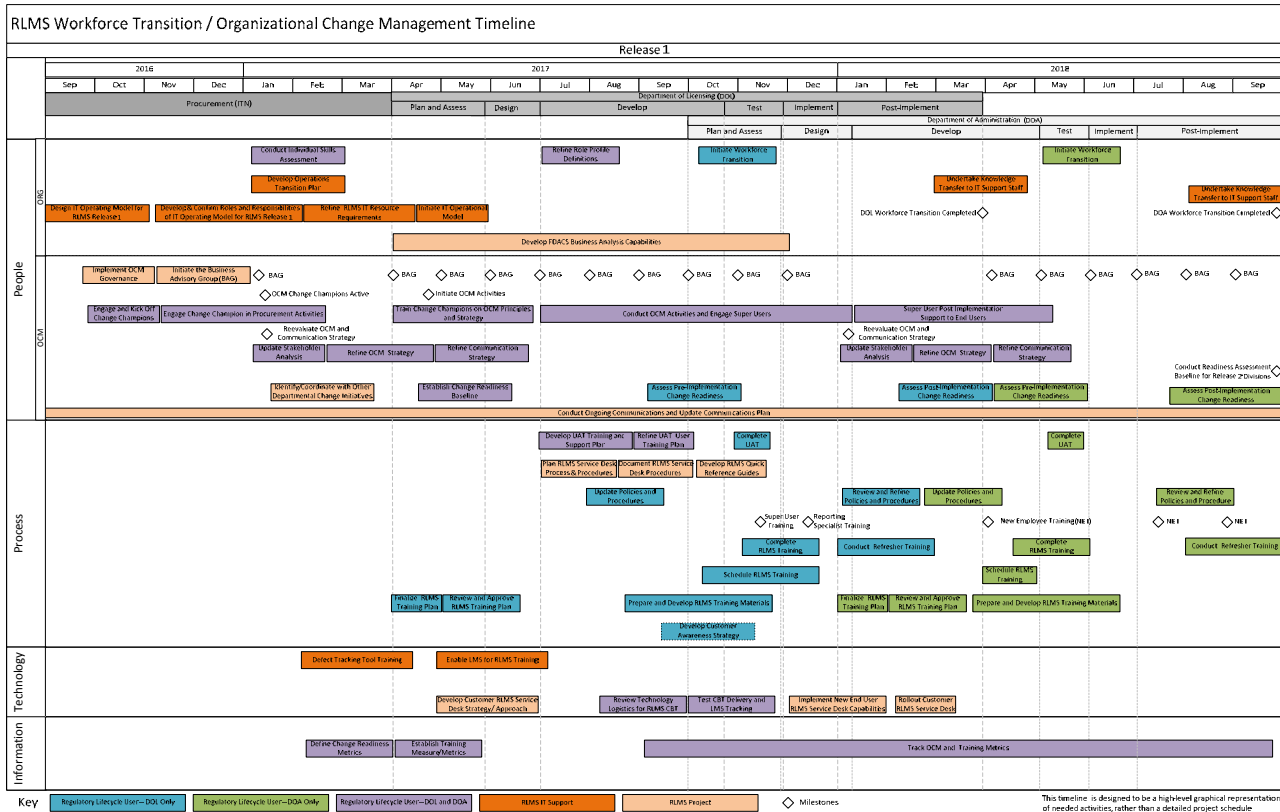
Each of these release phases described above is broken down into domains which define the key activities and project team responsibilities. The tasks in the release phases are assigned to five basic domains (project teams):

- *Project Management* – Address return on sponsor investment for the Project (addressed in the PMP and the Project Schedule, not included as part of the Workforce Transition and OCM timeline).
- *People* – Facilitate effective and efficient transition to the new business model.
- *Process* – Address business requirements and benefits; develop business analysis capabilities and re-engineer business processes to accommodate the post-implementation future state.
- *Information* – Facilitate data strategy, data governance and migration strategy; address new ways of managing reports and business information.
- *Technology* – Facilitate information quality and integrity, integrate task and solution dependencies across domains and project phases, and deliver objects that address specifications and coding quality standards and management of appropriate application



architecture and technical infrastructure; establish service desk policies, procedures and capabilities.

The roadmap illustrated in the Exhibit below and available as [Attachment I RLMS Workforce Transition / OCM Timeline](#) reflects a high-level view of the key activities and milestones associated with Workforce Transition and OCM.



**Exhibit 13: Workforce Transition Roadmap Snapshot**

The swim lanes in this timeline represent the four domains associated with Organizational Change Management and the Workforce Transition for the RLMS Project: People, Process, Technology and Information. The nominal project phases are indicated for both the DOL and DOA DDI sub-phases, which align to the RLMS Project Schedule. Activities are color-coded depending on who they apply to, for ease of identification.

## 4.2 WORKFORCE TRANSITION ACTIVITIES

Important Workforce Transition and OCM activities take place throughout each phase of the RLMS Project and across the People, Process, Technology and Information domains. The sections below provide a more detailed narrative for each of the activities on the timeline and indicate key dependencies between activities.



#### 4.2.1 PEOPLE (ORGANIZATION)

The Exhibit below details all the activities and dependencies for the People – Organization workstream.

ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Design IT Operating Model for Release 1	Work required to define the Organizational and Governance structures to ensure sustained support of the RLMS by the department.	
Develop & Confirm Roles and Responsibilities of IT Operating Model for RLMS Release 1	Moving beyond the high-level operating model into the detail of required roles. This will include input from the IT Skills Inventory exercise. Develop and socialize responsibilities.	Design IT Operating Model for Release 1
Refine RLMS IT Resource Requirements	Identify resource gaps, backfill needs and training / development needs from the current IT resource pool across OATS and Release 1 divisions.	Develop & Confirm Roles and Responsibilities of IT Operating Model
Initiate IT Operating Model for RLMS Release 1	Rollout initial stages of needed IT and data governance to support RLMS during the DDI phase of activities.	Refine RLMS IT Resource Requirements
Conduct Individual Skills Assessment	Undertake the next level of detail of Regulatory Lifecycle Skills assessment at the individual position level in order to validate and confirm individual training needs, particularly with relation to business skills.	
Develop Operations Transition Plan	As part of the Negotiation phase of the SI procurement, agree to a plan for Operational Transition of RLMS application support to FDACS staff (this may not happen until subsequent releases, depending on the agreed operations and maintenance agreement) and the approach to transferring knowledge.	
Refine Role Profile Definitions	As part of the development of any role-based access to the RLMS and to support development of the Training plan, the existing role profiles that were developed as part of the Pre-DDI phase need to be updated and aligned with system role definitions.	
Initiate Workforce Transition (DOL)	Any changes to roles and responsibilities and ways of working for those undertaking regulatory lifecycle-related activities in DOL as a result of the RLMS implementation.	
Complete Workforce Transition (DOL)	All DOL users now utilizing the RLMS to deliver their core duties.	
Undertake Knowledge Transfer to IT Support Staff	This encompasses the formal knowledge transfer from the SI vendor team to those people who will be fulfilling RLMS Application Support roles.	Develop Operations Transition Plan



ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Initiate Workforce Transition (DOA)	Any changes to roles and responsibilities and ways of working for those undertaking regulatory lifecycle-related activities in DOA as a result of the RLMS implementation.	
Complete Workforce Transition (DOA)	All DOA users now utilizing the RLMS to deliver their core duties.	

**Exhibit 14: People – Organization Workstream Activity Descriptions and Dependencies**



#### 4.2.2 PEOPLE (OCM)

The Exhibit below details all the activities and dependencies for the People – OCM workstream.

ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Implement OCM Governance	Begin to use the OCM Governance processes to make decisions about change management activities.	
Initiate the Business Advisory Group	Commence meetings of the Business Advisory Group (BAG) to seek input regarding OCM and communications needs, as per the proposed OCM governance and functional model. Keep group informed of project activities.	
BAG (Milestone)	Proposed meeting of the BAG suggested to occur monthly during the pre-DDI phase.	
Identify/Coordinate with Other Departmental Change Initiatives	Identify and record, with the help of the BAG, other significant changes happening throughout the department or other major departmental initiatives. Identify the executive sponsorship of these initiatives and coordinate RLMS OCM activities.	Initiate the Business Advisory Group
Engage and Kick Off Change Champions	Meet with the Change Champions as a group; explain the purpose of OCM and the Champions' role during the RLMS implementation.	Initiate the Business Advisory Group
Engage Change Champion in Procurement Activities	Seek to include Change Champions in high-level requirements review and procurement documents review. Encourage Change Champions to listen during negotiations for the RLMS implementation vendor.	Engage and Kick Off Change Champions
OCM Change Champions Active	Change Champions become active by participating in procurement activities.	Engage and Kick Off Change Champions
Train Change Champions on OCM Principles and Strategy	Educate Change Champions on the basic principles of OCM. Provide training to Change Champions on the ADKAR® model. Provide tutorials, templates and tools Change Champions will use to carry out OCM activities.	
Initiate OCM Activities	Change Champions begin delivering OCM activities with their impacted groups.	Train Change Champions on OCM Principles and Strategy
Conduct OCM Activities and Engage Super Users	Continue providing OCM activities through system implementation. Reassign Change Champions as Super Users, or recruit new department staff to act as Super Users.	
Super User Post Implementation Support to End Users	Super Users provide field support and support for functional groups as the system goes live. Super Users continue user support until no longer needed.	Super User Training (see Process workstream)



ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Reevaluate OCM and Communication Strategy (Milestone)	Review and revise the Pre-DDI OCM and Communication Strategy for RLMS Release 1, if needed, using input from the BAG and Change Champions.	
Update Stakeholder Analysis (Annually)	Work with the Change Champions and the Business Advisory Group to update RLMS Release 1 stakeholder analysis performed during Pre-DDI.	
Refine OCM Strategy (Annually)	Work with the Change Champions and the Business Advisory Group to update Release 1 parts of the OCM strategy developed during Pre-DDI.	Reevaluate OCM and Communication Strategy
Refine Communication Strategy (Annually)	Work with the Change Champions and the Business Advisory Group to update Release 1 parts of the stakeholder analysis performed during Pre-DDI.	Reevaluate OCM and Communication Strategy
Establish Change Readiness Baseline	Undertake initial survey and analyze results to assess DOL/DOA organizational awareness and readiness to transition to RLMS, identify significant gaps and areas of focus and any adjustments needed to the OCM and training strategy / approach.	
Assess Pre-Implementation Change Readiness (DOL)	Undertake second survey to assess DOL organizational awareness and readiness to transition to RLMS. Analyze the change from baseline, and identify any adjustments needed to the OCM and training activities.	Establish Change Readiness Baseline
Assess Post-Implementation Change Readiness (DOL)	Undertake final survey to assess DOL organizational awareness, analyze any remaining gaps that need to be addressed / resolved, and measure progress from the baseline	Establish Change Readiness Baseline
Assess Pre-Implementation Change Readiness (DOA)	Undertake second survey to assess DOA organizational awareness and readiness to transition to RLMS. Analyze the change from baseline, and identify any adjustments needed to the OCM and training activities.	Establish Change Readiness Baseline
Assess Post-Implementation Change Readiness (DOA)	Undertake final survey to assess DOA organizational awareness and analyze any remaining gaps that need to be addressed / resolved, and measure progress from the baseline.	Establish Change Readiness Baseline
Conduct Ongoing Communications and Update Communications Plan	Continue to provide all RLMS stakeholders with appropriate information during each phase of the project. Dynamically update the communications plan as needed.	
Establish Change Readiness Baseline for Release 2 Divisions	Undertake initial survey and analyze results to assess organizational awareness and readiness to transition to RLMS for the divisions that are part of RLMS Release 2, identify significant gaps and areas of focus and any updates needed to the OCM and training strategy / approach.	

**Exhibit 15: People – OCM Workstream Activity Descriptions and Dependencies**



### 4.2.3 PROCESS

The Exhibit below details all the activities and dependencies for the Process workstream.

ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Develop UAT Training and Support Plan	Develop UAT Training and Support Plan relevant to Super User participation in testing. Include a post-implementation Support Plan and way to integrate lessons learned into the future UAT Training Plans.	
Refine UAT User Training Plan	Finalize UAT User Training Plan, UAT scripts, plan to include Super Users, and plan to measure how users experience the new system.	
Complete UAT (DOL)	DOL and other relevant stakeholder Super Users complete UAT.	
Complete UAT (DOA)	DOA and other relevant stakeholder Super Users complete UAT.	
Plan RLMS Service Desk Process & Procedures	Develop plans for how existing or alternate Service Desk services to support RLMS will be implemented.	Decide whether RLMS Service Desk will be new or part of the existing Service Desk
Document RLMS Service Desk Procedures	Develop components of the Operational Support Plan that define how the RLMS Service Desk will function during and immediately after system implementation.	Integration with the Operational Support Plan to be developed by the Project Team
Develop RLMS Quick Reference Guides	Develop collateral for use by Service Desk, Super Users (and End Users, where appropriate).	
Update Policies and Procedures (DOL)	Update DOL policies and procedures to reflect changes to be implemented as a result of using the new system.	
Review and Refine Policies and Procedures (DOL)	Review DOL policies and procedures with staff and refine them as needed to reflect the most efficient processing of regulatory lifecycle activities once the RLMS has become embedded.	Update Policies and Procedures (DOL)
Finalize RLMS Training Plan (DOL)	Work with the SI to complete the DOL RLMS Training Plan, refining it to meet the training needs of the department. Specify number, type, format, mode, medium, class size, etc., for training.	
Review and Approve RLMS Training Plan (DOL)	Share the Training Plan with DOL RLMS stakeholders; make needed adjustments and approve the plan.	
Prepare and Develop RLMS Training Materials (DOL)	Monitor and supervise the SI as they develop the DOL RLMS training materials. Participate in the creation of materials as needed, and review and approve training materials. Involve Super Users if possible. Also develop specialized department-related training during this time.	



ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Schedule RLMS Training (DOL)	Identify individual DOL learning profiles and schedule training (by individual) so that it may be completed no less than two weeks prior to system Go-Live. Use LMS to track progress against schedule; ensure individuals' completion of their identified learning profile.	
Super User Training	Complete Super User training several weeks before system implementation.	Super User Training curriculum developed
Reporting Specialist Training	Complete Reporting Specialist training several weeks before system implementation.	
Complete RLMS Training (DOL)	Complete all mediums and modes of training for all DOL relevant stakeholder groups.	
New Employee Training (NET)	Conduct RLMS training for new employees who have recently joined the division as needed. Continue new employee training as needed.	
Conduct Refresher Training (DOL)	Conduct DOL refresher training just after Go-Live to address learning gaps, areas of learning difficulty, and last-minute adjustments to the RLMS.	Collection and analysis of training metrics
Finalize RLMS Training Plan (DOA)	Work with the SI to complete the DOA RLMS Training Plan, refining it to meet the training needs of the department. Specify number classes or CBTs, type, format, mode, medium, class size, etc., for training.	
Review and Approve RLMS Training Plan (DOA)	Share the Training Plan with DOA RLMS stakeholders, make needed adjustments and approve the plan.	
Prepare and Develop RLMS Training Materials (DOA)	Monitor and supervise the SI as they develop the DOA RLMS training materials. Participate in the creation of materials as needed, and review and approve training materials. Involve Super Users if possible. Also develop specialized department-related training during this time.	
Schedule RLMS Training (DOA)	Identify individual DOA learning profiles and schedule training (by individual) so that it may be completed no less than two weeks prior system Go-Live. Use LMS to track progress against schedule; ensure individuals' completion of their identified learning profile.	
Complete RLMS Training (DOA)	Complete all mediums and modes of training for all DOA relevant stakeholder groups.	
Update Policies and Procedures (DOA)	Update DOA policies and procedures to reflect changes to be implemented as a result of using the new system.	
Conduct Refresher Training (DOA)	Conduct DOA refresher training just after Go-Live to address learning gaps, areas of learning difficulty, and last-minute adjustments to the RLMS.	Collection and analysis of training metrics
Review and Refine Policies and Procedures (DOA)	Review DOA policies and procedures with staff and refine them as needed to reflect the most efficient processing of regulatory lifecycle activities once the RLMS has become embedded.	Update Policies and Procedures (DOA)





ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Develop Customer Awareness Strategy	Work with the department's communications office, the OCM Lead, and the Training Leads to develop a list of tasks to be accomplished prior to system implementation that will promote customer and other external stakeholder awareness of the changes to expect at Go-Live. This activity may be lead from outside the RLMS project	Coordination with the department's communications office

**Exhibit 16: Process Workstream Activity Descriptions and Dependencies**

**4.2.4 TECHNOLOGY**

The Exhibit below details all the activities and dependencies for the Technology workstream.

ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Defect Tracking Tool Training	Train Super Users and all other personnel who will support defect tracking in the proper use of the chosen defect tracking tool.	Defect tracking tool selected
Enable LMS for RLMS Training	Prepare the learning management system to deliver and track RLMS training, including loading all modules, identifying all learners, etc.	Decision of whether to use LMS or some other curriculum delivery system
Develop Customer RLMS Service Desk Strategy / Approach	Develop Operational Support Plan for system rollout, Go-Live, and post-implementation.	Super User identification and training
Review Technology Logistics for RLMS CBT	Ensure the delivery system for RLMS CBTs has been deployed and ready for widespread use.	
Test CBT Delivery and LMS Tracking	Conduct pilot or small group user test of CBT delivery and the tracking capability of the LMS.	RLMS training delivery system selected
Implement New End User RLMS Service Desk Capabilities	Operationalize and Go-Live with RLMS Service Desk for End Users.	Develop Customer RLMS Service Desk Strategy / Approach
Rollout Customer RLMS Service Desk	Begin to operate external stakeholder and customer RLMS Service Desk.	Decision on how external stakeholders and customers will be assisted

**Exhibit 17: Technology Workstream Activity Descriptions and Dependencies**

**4.2.5 INFORMATION**

The Exhibit below details all the activities and dependencies for the Information workstream.



ACTIVITY	DESCRIPTION	KEY DEPENDENCIES
Define Change Readiness Metrics	Develop change readiness metrics; review and approve metrics and collection plan.	
Establish Training Measure/Metrics	Develop training metrics; review and approve metrics and collection plan.	
Track OCM and Training Metrics	Use LMS or alternate metrics tracking system to obtain information on change readiness and potential areas in need of additional OCM or training support.	

**Exhibit 18: Information Workstream Activity Descriptions and Dependencies**



## SECTION 5 ATTACHMENTS

### 5.1 ATTACHMENT I: LEARNING MATRIX

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160317-DACS02-D5BC-Attachment-I-Learning-Matrix-v100.xlsx>

### 5.2 ATTACHMENT II: RLMS WORKFORCE TRANSITION / OCM TIMELINE

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160317-DACS02-D5BC-Attachment-II-WFT-OCM-Timeline-v100.vsd>

### 5.3 WORKFORCE TRANSITION ANALYSIS (DELIVERABLE D5A)

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/151210-DACS02-D5A-Workforce-Transition-Analysis-v100.docx>

### 5.4 ROLE BASED SKILLS AND GAP ANALYSIS (DELIVERABLE D5D)

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160217-DACS02-D5D-Role-Based-Skill-Assessment-Gap-Analysis-v100.docx>

### 5.5 STAKEHOLDER ANALYSIS, OCM ASSESSMENT AND PLAN (DELIVERABLE D4A-B-C)

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160112-DACS02-D4ABC-Stakeholder-Analysis-OCM-AP-v100.docx>

### 5.6 COMMUNICATIONS AND CHANGE PLAN (DELIVERABLE D4D-E)

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160224-DACS02-D4DE-Comm-Change-Plans-v100.docx>

### 5.7 ENTERPRISE USE CASES (DELIVERABLE D7A)

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160226-DACS02-D7A-Use-Cases-v100.docx>

### 5.8 UPDATED IMPLEMENTATION PLAN

[http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160314-DACS02-RLMS-Pre-DDI-Appendix\\_G\\_Implementation-Plan-Update-v100.docx](http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160314-DACS02-RLMS-Pre-DDI-Appendix_G_Implementation-Plan-Update-v100.docx)



## 5.9 RLMS GLOSSARY OF TERMS

<http://floridafresh/OATS/PPMO/RLMS/Complete%20Document%20Library/160308-DACS02-RLMS-Pre-DDI-Glossary-of-Terms-v100.docx>

**FLORIDA DEPARTMENT OF AGRICULTURE  
AND CONSUMER SERVICES**

**AGCSS – PRE-DESIGN, DEVELOPMENT,  
AND IMPLEMENTATION PROJECT**

*D4D-E – COMMUNICATIONS AND CHANGE  
READINESS PLAN*

Date: 07/31/2017  
Version: 101



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**Revision History**

DATE	AUTHOR	VERSION	CHANGE REFERENCE
01/12/2016	North Highland	001	Initial draft
01/19/2016	North Highland	002	Ongoing edits
02/05/2016	North Highland	003	Ongoing edits
02/06/2016	North Highland	004	Draft for Team QA
02/12/2016	North Highland	005	Draft for Internal QA
2/16/2016	FDACS	006	FDACS Review
02/24/2016	North Highland	007	Draft for Internal QA
02/25/2016	North Highland	100	Baseline
07/31/17	North Highland	101	Rebrand & Refresh for Schedule IV-B FY 18-19

**Quality Review**

NAME	ROLE	DATE
Jennifer Pang	NH Internal QA	02/12/2016



## SECTION 1 INTRODUCTION

North Highland has been asked to assess the Project Organizational Change Management (OCM) needs and develop communication and stakeholder strategies to facilitate system implementation and change throughout the lifecycle of the project. The Regulatory Lifecycle Management System (RLMS) project was rebranded at the start of the Design, Develop, and Implementation phase to AgCSS – Agriculture and Consumer Services System. This deliverable contains analysis to develop a RLMS Communication Plan and the Change Readiness Assessment Plan to address overall change management needs, strategies, and activities. The goal of the OCM workstream activities is to help the Florida Department of Agriculture and Consumer Services' (FDACS, the department) stakeholders become comfortable with, and able to move to, the new AgCSS environment and operating model, and effectively leverage the new system in delivering regulatory services.

The AgCSS will change the way people work to deliver activities across the regulatory lifecycle and the way related technology is supported across the department. With the anticipated improvement in system capabilities (such as workflow, business rules, mobile access, and self-service), some data entry tasks will shift from FDACS staff to the customer, offering FDACS staff the opportunity to spend more time on higher-priority duties, and for staff in the field to move towards paperless workflow and real-time data management. Migrating to AgCSS presents significant opportunities for efficiency gains, and requires significant changes to the way the department and its employees work today.

Effective OCM is associated with greater probability of project success (achieving the full benefit of AgCSS), increased management and end-user buy-in, and faster adoption / execution of the desired change. A robust communication and change management plan is key for successful change adoption, and supports FDACS employees and other stakeholders as they become aware of the changes, adapt to, and benefit from new processes and tools.

OCM activities currently being provided by North Highland as part of this workstream include:

- Articulating the benefits of the change clearly and consistently.
- Identifying and assisting key leadership and management sponsors in supporting change.
- Identifying stakeholder groups impacted by the change.
- Planning and executing communications to support key stakeholder needs.
- Identifying and proposing opportunities for stakeholder involvement and communication.
- Planning for and executing an information sharing approach for stakeholders regarding the new system, processes, policies, procedures, and responsibilities.
- Assessing and managing resistance to change.

The North Highland RLMS Pre-Design, Development, and Implementation (Pre-DDI) OCM workstream activities are also designed to ensure that activities to deliver effective and successful change management and communications are incorporated throughout the life of





the AgCSS project via the repeatable OCM processes and communication tools developed in this document.

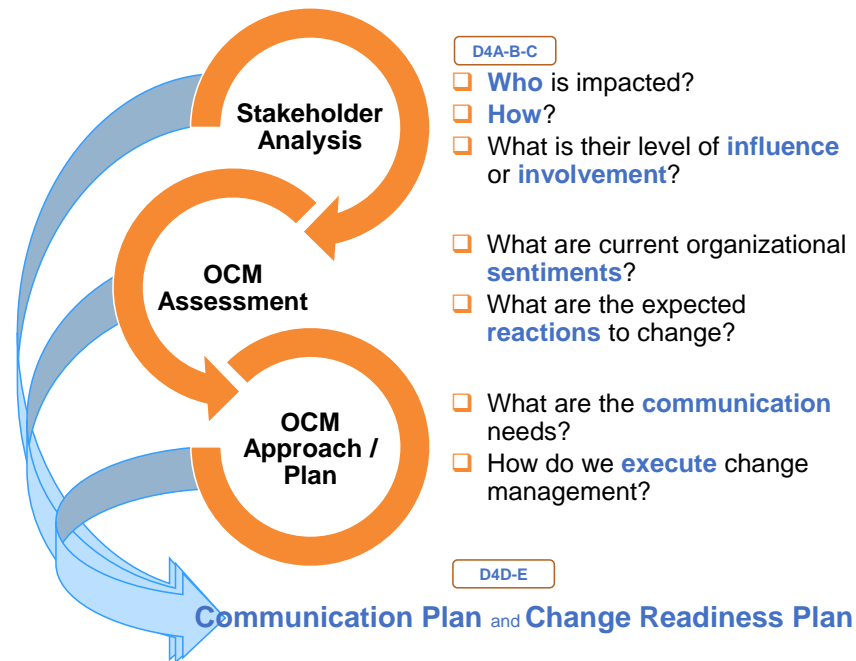
Additionally, the Workforce Transition and OCM workstream activities are coordinated. Findings and recommendations from the Workforce Transition deliverables shape OCM activities and are used to help guide the organization in responding to the changing environment of its workforce, consumers and other stakeholders.

## 1.1 PURPOSE

Communication plans are vital to project success. System and process project outcomes and related workforce productivity are facilitated by transparent and structured communication approaches that provide consistency in project perceptions and understanding, and help manage expectations during a change effort. In addition, communication is important for demonstrating ongoing executive support and commitment, building overall buy-in and commitment to the changes, and ensuring that stakeholders know how the transformation journey is progressing at key points during the project.

The purpose of the Communications and Change Readiness Plan is to ensure that the AgCSS project management team and departmental leadership provide relevant, accurate and consistent information to stakeholders and other appropriate audiences throughout the lifecycle of the project. By effectively communicating to people and organizations impacted by the system implementation, the project team can accomplish its work with the support and cooperation of each stakeholder group.

This deliverable leverages information gathered in prior OCM planning and other workforce transformation activities. The key questions addressed by this workstream are captured in Exhibit 1: OCM Workstream Activities and Dependencies below, which shows how this deliverable is driven by the findings and approaches developed in the Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan (Deliverable D4A-B-C).



### Exhibit 1: OCM Workstream Activities and Dependencies

A previous deliverable (Deliverable D4A-B-C – Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan) identified (by stakeholder group) observations including the estimated impact of the change, current perceptions about change, and issues that may impede change. The document included a Stakeholder Analysis Matrix with high-level recommendations for change management approaches to support successful change for specified entities or groups. Additionally, it laid out a recommended approach for managing change throughout the AgCSS Design, Development, and Implementation (DDI) phase, and it established a basis for ongoing OCM planning needs and activities.

The exhibit below shows how information from the previously completed Stakeholder Analysis will be used to guide an assessment of stakeholder readiness.



		Aware of the Change	Understand the Change	Accept the Change	Committed to the Change	Champion
Unaware	5. As-Needed Information Partners	→				
	4. FDACS Staff (Non-RLMS Users)	→				
	3. FDACS Staff RLMS End Users (including first level supervisors, who are not section chiefs)			→		
	3. Tax Collectors (External RLMS Users)			→		
	10. Information Sharing Partners			→		
Neutral	6. Customers, License and Permit Holders, Applicants, Consumers, General Public			→		
	3. IT Support Staff (Regulatory Application Support & Other Roles)			→		
	2. Division Directors / Office Directors / Assistant Directors			→		
Slightly Supportive	2. Bureau Chiefs / Section Chiefs			→		
	5. External Stakeholders			→		
Fully Supportive	Governmental Stakeholders (not in scope of Change Readiness Plan)			→		
	1. Executive Leadership					→
Not Supportive	1. FDACS IT Governance					→
	Moderately Supportive	Not Applicable as of January 2016				

OCM Desired End State

Level of Stakeholder Impact  
 → High  
 → Medium  
 → Low  
 → N/A

### Exhibit 2: AgCSS Change Readiness and OCM Desired End State

The concept of the OCM Desired End State, which measures when desired levels of change adoption are achieved (the red line in the exhibit), is important because change readiness, related communication, and OCM goals hinge on two concepts:

- Understanding the change journey a stakeholder or audience group must undertake; and
- Knowing when desired change levels are achieved so that activities for a specific stakeholder or audience group may be reassessed and modified as needed.



Section 4.1 further outlines how this exhibit informs the Proposed Change Readiness Assessment Approach.

## 1.2 DESCRIPTION

This document (Deliverable D4D-E) develops key components that are critical for executing change management and communication activities in support of AgCSS deployment:

- The AgCSS Communication Plan
- The associated AgCSS Communication Action Plan Template
- The AgCSS Change Readiness Assessment Plan

**Section 3: AgCSS Communication Plan.** This section presents the principles, analysis and communication methods identified for developing the AgCSS Communication Plan. The plan is composed of the identification of stakeholders and audiences (Section 3.3), the AGCSS Communication Action Plan Template (Section 3.6) and the communication plan governance components which include ownership, principles, feedback mechanisms, and protocols for updates and reviews (Section 3.7).

Like the Stakeholder Analysis Matrix, by its dynamic nature, the Communication Action Plan Template is intended to be a living document throughout the deployment of AgCSS releases, and can be expanded and revised as necessary by the AgCSS OCM Lead (discussed in Section 3.7).

**Section 4: AgCSS Change Readiness Assessment Plan.** To measure and support progress toward change adoption throughout the AgCSS project, it is important to establish a baseline for change readiness for each stakeholder and define an evaluation approach for tracking the change journey against the baseline. This section proposes an approach to analyzing change readiness by stakeholder group and presents a survey tool, as a set of questions to be executed at proposed intervals.

## 1.3 SCOPE

The entities addressed in this deliverable include individuals, teams and functional areas within FDACS that perform regulatory lifecycle-related activities.

Areas of primary focus for AgCSS Release 1 are:

- Division of Licensing (DOL).
- Related revenue collection and processing and mailroom roles / activities in the Division of Administration (DOA).
- Office of Agricultural Law Enforcement (AgLaw), for the purposes of the regulatory investigative activities it performs on behalf of DOL.



Areas of secondary focus for future AgCSS releases are:

- All other bureaus within divisions which perform regulatory lifecycle-related activities.

Areas of tertiary scope are:

- Any bureau within a division or office which does not perform regulatory lifecycle-related activities.
- Any bureau within a division or office which carries out regulatory lifecycle-related activities that will not be managed through AgCSS, such as inspections carried out by the Division of Fruit and Vegetables (F&V) on behalf of the USDA (e.g., tomatoes and peanut grading).

The primary audiences for the Communication Plan are current stakeholders, especially those soon to be impacted by AgCSS Release 1. However, it is intended that tools developed here are extendable and scalable to future AgCSS releases.



## SECTION 2 NORTH HIGHLAND APPROACH / ASSUMPTIONS

### 2.1 APPROACH

This deliverable builds on prior OCM-related findings and tools, and centers on the concepts of:

- Identifying communication needs for AgCSS-impacted stakeholders (who, what, when, how).
- Understanding and evaluating change readiness.
- Measuring change readiness and progress.
- Providing recommendations for AgCSS OCM leadership for ongoing management of the tools developed in support of these activities.

To create this document North Highland has:

- Identified audiences, and relative needs, for communication / events.
- Created an AgCSS Communication Action Plan Template tailored to the needs of the department.
- Proposed a governance approach for the AgCSS Communication Plan.
- Leveraged previous OCM deliverables to frame change readiness approaches.
- Designed Change Readiness Survey questions.
- Developed a methodology to capture and measure movements in change readiness.

**Inputs** (primarily from the Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan):

- OCM Information Request
- Discussions with department leadership about AgCSS communication needs and availability of internal OCM leadership
- Previously delivered Stakeholder Analysis and Organizational Impact
- North Highland Findings / Observations and Recommendations
- OCM Assessments and supporting documentation
- AgCSS OCM Functional Model
- Best practices related to OCM

**Outputs:**

- Identification of stakeholders and audiences



- Definition of communication events with a related evaluation of existing and needed communication methods
- AgCSS Communication Action Plan Template
- Governance protocols for the AgCSS Communication Plan
- AgCSS Change Readiness Assessment Plan with supporting survey and recommendations for analysis

## 2.2 ASSUMPTIONS

Assumptions used in this analysis:

- There was **widespread support** at the highest levels of responsibility in the department for the vision guiding this effort and the implementation of changes the analysis drives – to achieve quality, consistency, and expediency goals in regulatory services.
- For the purposes of this document, AgCSS Release 1 was assumed to **primarily impact** DOL, Tax Collectors, and AgLaw Regulatory Investigators, along with DOA.
- The **Communication Action Plan Template** is intended to be maintained as a separate document to be updated and **revised** throughout the life of the project.
- The **Change Readiness Assessment Plan** is also intended to be maintained as a separate document to be updated and **revised** throughout the life of the project.
- The **communication vehicles** / media / technologies presented in this deliverable are those preferred for the AgCSS impacted resources, and reflect an understanding of the department’s communications practices and culture. Stakeholder **numbering** throughout this document reflects the numbering assigned in the Stakeholder Analysis Matrix in Deliverable D4A-B-C.
- **Governmental Stakeholders** (such as the Legislature, the Governor’s Office, and the Florida Cabinet) are not a core audience for the Communication Plan because project communication needs for these stakeholders are addressed on an individual basis through currently established relationships and channels.
- The **AgCSS OCM Lead** role and the **Change Champions’ network** recommended in Deliverable D4A-B-C were, or would shortly be, established.
- All assessments, findings and recommendations supporting this deliverable reflect information that was **valid at that point in time**. The nature of any change is dynamic over the life of a project.



## SECTION 3 AGCSS COMMUNICATION PLAN

### 3.1 COMMUNICATION PLAN CONTEXT

The AgCSS Communication Plan outlines recommended communication activities to support the AgCSS project throughout its lifecycle. Components of the Communication Plan include:

- Identification of stakeholders and audiences who are a target for the plan.
- Identification and evaluation of communication events best suited for FDACS.
- The AgCSS Communication Action Plan Template to guide execution of communication activities.
- Definition and guidance on governance for the AgCSS Communication Plan.

Communication which reflects stakeholder needs and feedback is vital to ensure project success. Effective communication requires careful planning and governance to ensure that identified stakeholder groups and audiences receive appropriate information to ensure they know what is happening and what might be expected of them at key points throughout the lifecycle of the project. Hence, communication plans support enterprise transformation by supporting stakeholders as they seek information and make their personal decisions to accept and embrace change. Communication plans also help manage people's expectations and overcome barriers to change.

Communication efforts are also important in managing business outcomes and risks that may result from AgCSS process and technology changes. Business risks associated with inadequate communication can span a wide range of outcomes, including:

- Potential dips in quality / speed of service for licensing processes during the transition to the new system and processes.
- Vocal, unhappy stakeholders, who may not see the value in the proposed changes.
- Lost time and project resources used managing fear and misunderstanding.
- Potential implementation delays due to funding or technical challenges.

A core function of the AgCSS Communication Plan, therefore, is to support the AgCSS Future OCM Vision and Strategy and support the stakeholders' change journey from Awareness to Ownership as depicted in the exhibit below.





### Exhibit 3: AgCSS OCM Vision and Strategy

## 3.2 COMMUNICATION PLAN OBJECTIVES

To launch and accomplish OCM Phase 1: Prepare for Change, key communication objectives were:

- To promote and gain support for the project.
- To encourage successful deployment of the AgCSS technology and its capabilities.
- To give accurate and timely information about the project.
- To ensure consistent messages.

A communication plan needs to be deliberate in considering the specific needs of both internal and external stakeholders. The following are the key criteria that make a good communication plan:

- **Ownership** (business lead of the change project) and execution (organizational change management) resources with defined relative responsibilities for management, design, execution duties, governance and maintenance.
- **Flexibility** (to deal with “popping up” and reactive communication needs).
- **Feedback** mechanisms that inform the effectiveness of communication messages.



- **Link** to business changes / timing (must reflect the questions / needs in management and audience scope of interest).
- Availability and suitability of communication **channels**.
- **Specifics** on frequency of communication, who sends communications, and the appropriate levels of communication.

### 3.3 IDENTIFICATION OF STAKEHOLDERS AND AUDIENCES

This section identifies the audiences targeted for the AgCSS Communication Plan and the purpose for communicating with each audience.

Deliverable D4A-B-C – the Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan captured the list of AgCSS impacted stakeholders which comprise the target audiences for the AgCSS Communication Plan. The matrix, also available in Attachment I: Stakeholder Analysis Matrix, is a living document and it identifies the following 13 stakeholders / stakeholder groups:

1. **Executive Leadership** – The Commissioner, the Assistant Commissioner, the Deputy Commissioners, and other non-project-related department leadership.
2. **Division / Office Directors / Assistant Division Directors** – Division Directors and Assistant Directors from divisions in which regulatory lifecycle activities occur.
3. **Bureau Chiefs / Section Chiefs** – Bureau Chiefs and Section Chiefs from divisions in which regulatory lifecycle activities occur.
4. **FDACS Staff / AgCSS End Users (including first-level supervisors who are not section chiefs)** – Staff from divisions in which regulatory lifecycle activities occur.
5. **Tax Collectors (External AgCSS Users)** – Tax Collectors' office staff who currently use the CWIS system.
6. **IT Support Staff (Regulatory Application Support and Other Roles)** – Regulatory application and other IT support staff in the divisions and infrastructure, end-user support and service desk staff who are currently in OATS.
7. **FDACS Non-AgCSS Users** – Primarily FDACS employees who will not use AgCSS, but may work with or know of others who do.
8. **FDACS IT Governance** – The Governance Body that oversees FDACS decision-making and project prioritization. This group oversees the AgCSS project and makes decisions that greatly impact the design and implementation of the AgCSS.
9. **External Stakeholders** – Groups, organizations, advisory bodies, and entities external to FDACS which have influence over the project, or can be vocal in support or opposition of the system implementation.
10. **Information Sharing Partners** – Entities with whom FDACS shares data on a daily or frequent basis. AgCSS implementation may require coordination with Information Sharing Partners.



- 11. **As-Needed Information Sharing Partners** – These are entities that receive data requests from FDACS or provide data on an ad hoc basis.
- 12. **Governmental Stakeholders** – The Legislature, the Governor's Office, the Florida Cabinet, and regulating bodies (*Not a core audience for this AgCSS Communication Plan, managed instead by FDACS senior leadership*).
- 13. **Customers, License Holders, Applicants, Consumers, General Public** – Any individual who is requesting or receiving a service from FDACS, or is impacted by the AgCSS.

In the development of a communication plan, it is important to consider that some stakeholders have a high level of impact on project success and need targeted forms of communication. To guide the development of the AgCSS Communication Plan, the extract from the Stakeholder Analysis Matrix (Attachment I) below summarizes the interest and influence dimensions of each identified stakeholder group:

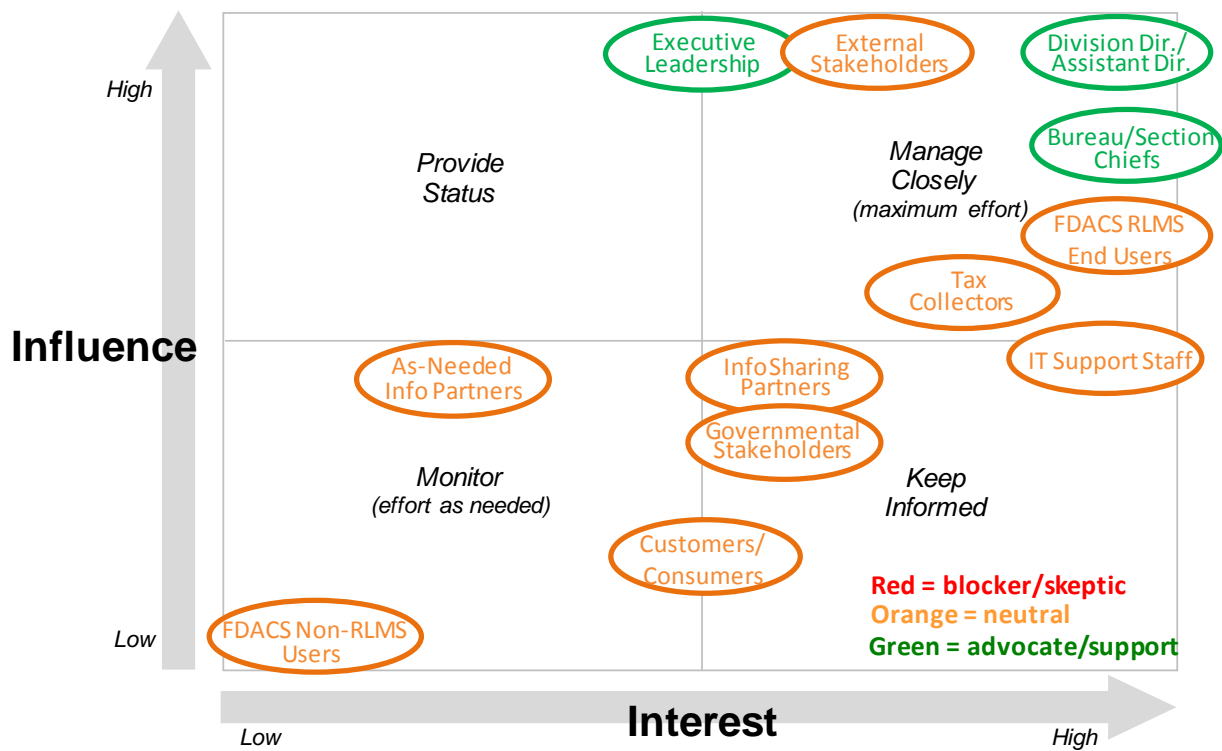


Exhibit 4: AgCSS Stakeholder Influence and Interest Grid

These stakeholders have been included in this Communication Plan according to the level of impact they can have upon the project, and their communication needs have been correspondingly considered.



Note: FDACS IT Governance is not separately represented above as its members are individually represented in other stakeholder groups.

In addition to the identified AgCSS stakeholders, a key set of individuals were appointed as department **Change Champions** for OCM Execution (see Deliverable D4A-B-C, Section 5.3). A Change Champion is a named individual who represents an area or group of people for purposes of providing OCM activities. The appointed individuals, on behalf of a stakeholder group, serve as a “delivery channel” for OCM and communication activities.

Change Champions represent an additional audience group for the AgCSS Communication Plan as they are constantly educated on their role, the project, OCM activities execution plans, and most importantly, they are the individuals actively interacting across their respective organizational unit with other targeted audiences.

With this understanding of the stakeholders for the AgCSS project, North Highland executed the first steps of development for an AgCSS Communication Action Plan Template by grouping stakeholders into audience groups. An **audience** is a person (or group) who has been selected from the Stakeholder Analysis Matrix to be included in the project communication plan and can be grouped together for communication purposes based on common needs. Audiences receive targeted communication and are best served with communication methods (defined in Section 3.2 below) that are straightforward and quick to produce so that messages can be customized as needed to address emerging communications needs.

The Exhibit below shows the results of an exercise to identify audience groups for the development of the AgCSS Communication Action Plan Template. As stated in the assumptions, stakeholder numbering throughout this document reflects the numbering assigned in the Stakeholder Analysis Matrix from the Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan. It should be noted that “12. Governmental Stakeholders” have not been assigned an audience group because communication with this stakeholder group will be managed by FDACS leadership outside the AgCSS project communication process.

AUDIENCE	COMMUNICATION PURPOSE	COMMUNICATION VEHICLE(S)
<b>DEPARTMENTAL LEADERSHIP</b>		
1. Executive Leadership	<ul style="list-style-type: none"> <li>▪ Maintain ongoing project sponsorship</li> <li>▪ Update on project status</li> <li>▪ Governance on communications / the plan</li> </ul> <i>In addition to Project Management Communication protocols as defined by the PMP</i>	<ul style="list-style-type: none"> <li>▪ Status Report</li> <li>▪ Comprehensive Monthly Report</li> <li>▪ Periodic presentations</li> </ul>
8. FDACS IT Governance		
<b>DIVISIONAL LEADERSHIP</b>		
2. Division Directors / Office Directors / Assistant Directors	<ul style="list-style-type: none"> <li>▪ Update on project status</li> <li>▪ Up-to-date cross-departmental project information and coordination</li> <li>▪ Maintain open lines of communication and feedback with divisional operations on AgCSS progress</li> </ul>	<ul style="list-style-type: none"> <li>▪ Status Report (optional)</li> <li>▪ Comprehensive Monthly Report</li> <li>▪ Periodic project updates at divisional meeting / presentation</li> </ul>
3. Bureau Chiefs / Section Chiefs		



AUDIENCE	COMMUNICATION PURPOSE	COMMUNICATION VEHICLE(S)
<b>AgCSS END USERS</b>		
4. FDACS Staff AgCSS End Users (including first level supervisors, who are not section chiefs)	<ul style="list-style-type: none"> <li>Update on project status</li> <li>Managing expectations</li> <li>Modeling transparency in communication</li> <li>Leveling the project information gaps across the department</li> <li>Preventing rumors and misinformation about the project</li> </ul>	<ul style="list-style-type: none"> <li>Newsletter (online)</li> <li>Town Halls</li> <li>Meetings with divisional management / liaison</li> <li>Ad hoc information sessions (linked to project roll outs)</li> <li>SharePoint project information portal</li> <li>Email update</li> </ul>
5. Tax Collectors (External AgCSS Users)		
6. IT Support Staff (Regulatory Application Support & Other Roles)		
<b>NON-AGCSS USERS</b>		
7. FDACS Staff (Non-AgCSS Users)	<ul style="list-style-type: none"> <li>Convey the service innovation efforts of the department through AgCSS project</li> <li>Ensuring an adequate flow of information about a major change in the department</li> </ul>	<ul style="list-style-type: none"> <li>Newsletter (online) on FDACS portal</li> </ul>
<b>INFORMATION PARTNERS</b>		
9. External Stakeholders	<ul style="list-style-type: none"> <li>Convey the service innovation efforts of the department through AgCSS implementation</li> </ul>	<ul style="list-style-type: none"> <li>Newsletter (online) on FDACS portal</li> </ul>
10. Information Sharing Partners		
11. As-Needed Information Partners		
<b>CUSTOMERS</b>		
12. Customers, License Holders, Applicants, Consumers, General Public	<ul style="list-style-type: none"> <li>Education on how AgCSS changes the licensing process for customers</li> <li>Identify opportunities to promote the benefits for AgCSS (added features, ease of access via the self-service portal, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Newsletter (online) on FDACS portal</li> <li>Educational materials</li> <li>Mailing to active customers, as needed</li> </ul>
<b>CHANGE CHAMPIONS</b>		
Change Champions	<ul style="list-style-type: none"> <li>Updates on the project</li> <li>Execution of OCM activities</li> <li>Articulation of progress towards change</li> <li>Liaison between their functional unit or division and the project</li> </ul>	<ul style="list-style-type: none"> <li>Access to all AgCSS-related materials</li> <li>Attendance at relevant meetings</li> <li>Access to AgCSS OCM tools</li> </ul>

**Exhibit 5: AgCSS Communication Plan Audiences**

The communication vehicles are more formally discussed and applied in the following section which presents defined communication events that represent a set of options for communication and are reflected in the AgCSS Communication Action Plan Template.



### 3.4 DEFINED COMMUNICATION EVENTS

A communication event is a mechanism for sharing and collecting information. For each audience (as identified in Section 3.3 above), the AgCSS Communication Plan captures what information needs to be communicated, with what frequency, and with what method.

There are several key considerations when selecting communication event formats. These range from consideration of costs (meeting vs. electronic communication, for instance), the currently adopted and / or preferred communication channels for that organization, the availability of technology that facilitates dissemination of information (such as intranet and video conferencing), and physical constraints driven by geographic distribution of resources and offices.

The exhibit below lists typically available communication event formats and briefly describes their suitability to audience types and organizational constructs.

TYPE	EVENT	BENEFITS	DRAWBACKS
Individual contact	Conference call and videoconferencing	<ul style="list-style-type: none"> <li>Highly effective in terms of audience engagement</li> <li>Supporting technologies are widely available</li> </ul>	<ul style="list-style-type: none"> <li>Hard to accomplish with resources spread across times and geographies</li> <li>Can result in fragmented information sharing</li> </ul>
	Word of mouth / Talking points for leadership		
	Telephone conversation		
	Personal conversation		
Meeting	Periodic formal meetings	Ideal for: <ul style="list-style-type: none"> <li>Hands-on brainstorming</li> <li>sharing lessons learned</li> <li>exchanging ideas (formally and informally) surfacing organizational questions about change</li> <li>learning about new ideas, products, and services</li> <li>building team rapport and morale</li> </ul>	<ul style="list-style-type: none"> <li>Can be costly, cumbersome to coordinate and at times ineffective</li> </ul>
	Town Hall (interactive participation with leadership)		
	Bureau or division briefings		
	Road shows to present and explain the project or new technologies		
	“Lunch and learn” (informal training sessions)		
	Informal meetings		
Electronic	Email to affected parties only with targeted content	<ul style="list-style-type: none"> <li>Email to individual parties increase response action, if necessary</li> <li>Simple and easy for the audience to access the information and process at their preferred level of interest</li> <li>FAQS on FDACS intranet / internet</li> <li>Background materials postings</li> </ul>	<ul style="list-style-type: none"> <li>It is hard to immediately gauge the effectiveness of the information</li> <li>Social media is often not accessible from work</li> </ul>
	Periodic project reports (electronic)		
	Email to all (broad messaging)		
	Newsletter providing updates on project activities		
	Intranet / website posting		
	Social media posting (externally focused)		

**Exhibit 6: Defined Communication Events**



Additionally, communication events include already-established project management protocols of project status updates and project governance meetings (not covered in this deliverable).

### 3.5 EVALUATION OF EXISTING COMMUNICATION METHODS

In the Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan, North Highland executed an OCM Assessment regarding impacted resources across the department. The request included questions about different communication formats and captured how communication preferences manifest primarily within divisions. The results for the 33 impacted bureaus and offices in the exhibit below are extracted from Section 3 of the document.

	ROUTINE ISSUES	MAJOR CHANGES
Email to all	79%	67%
Email to affected parties only	97%	58%
Intranet posting	30%	9%
Telephone conversation	97%	45%
Personal conversation	79%	45%
Conference room meeting with Supervisors; then supervisors distribute the information	58%	79%
Bureau meeting	73%	94%
Division meeting	24%	82%

#### Exhibit 7: OCM Information Request – Communication Mechanisms

- **Individual contact** encompasses personal and telephone conversations.
- There is a consistent approach to communication **formats** for different bureaus within individual divisions.
- Across the department, **multiple** communication mechanisms are generally used to communicate change.
- More **routine** communication (about daily operational issues) is generally shared at the bureau level.
- **Major** communication (typically strategic in nature) is shared at both bureau and division meetings for a majority of respondents.

Additionally, North Highland gathered information that indicated the extent to which impacted resources are physically distributed across the department.

- Resources performing regulatory lifecycle roles are **distributed** across the state with a concentration of staff headquartered in Tallahassee, Bartow (F&V) and Gainesville (Division of Plant Industry).
- **Most divisions** have fewer than 10 offices / regional spread of resources.



- Divisions with resources **concentrated** in Tallahassee have the ability to bring everyone together for face-to-face communication and provide access to leadership.

For this deliverable, to further understand what communication methods are currently commonly used in the department, and what level of communication is the norm, we conducted additional conversations with department resources and stakeholders and found:

- There are two formal platforms, **emails** / **newsletters**, of communication currently established:
  - › The FDACS’s Commissioner “Today’s News” daily newsletter which is focused on sharing news about the policy / external context in which the department operates.
  - › The “Open Lines” quarterly newsletter which is focused on sharing social news such as awards given, new hires, retirements, etc. The feeds for the newsletter come from a contact person from each division, and the newsletter is produced by Marketing and Development.
- Communication approaches in some divisions (such as DOL) tend to be **sporadic** in nature, and communication is typically delivered through the chain of command or via email.
- The department **intranet** is a place where department-relevant information is posted, but it is unclear how much individuals are aware of the information available, or that they use this source.
- Communication with customers is usually triggered by regulatory requirements (notice given on licensing status changes) and it is typically via **letter**.
- Important **external stakeholder communication** for the department is attendance at industry and regulatory meetings (events). For instance, department representatives attend and often present at the Private Investigation, Recovery and Security Advisory Council (PIRSAC) meetings which take place the last month of each quarter. There might be similar events of FDACS relevance for communicating with external stakeholders, and the AgCSS Communication Action Plan Template can identify and capture these communication opportunities.

Given current department communication practices, and in the context of AgCSS implementation, it is also important to consider specific implications for communication needs resulting from these realities:

- Affected stakeholders are distributed across the state (i.e., External Stakeholders, Customers, Tax Collectors, etc.) – both internally and externally to the department – and **geographic dimensions** can affect the information delivery effectiveness.
- Not all stakeholders are easily accessible via (or have access to) electronic communication, and the AgCSS project will require a longer span and more intense level of communication than current practices. Hence, there might be additional **costs** involved (events, mailings, meetings, etc.), particularly for customers, license holders, applicants, consumers, and the general public.





- While this and related AgCSS OCM deliverables focus on change and communication driven by AgCSS implementation and identify needed resources for execution, raising the **department’s communication profile** with the wide range of stakeholders will inevitably raise expectations for the department to sustain new levels of communication on an ongoing basis for other potential forthcoming changes. In the next few years, leadership is advised to make decisions on where and whom in the department will be charged with communication leadership.

Overall, department resources have begun to, and could further benefit from more structured or deliberate communication about changes and initiatives. As the Exhibit below shows (from Deliverable D5A), it is the vision of department leadership to model improved communication and to facilitate operating as “One Team.” The red boxes show how effective communication has begun and must continue to support the AgCSS Future Workforce Vision.

**RLMS FUTURE WORKFORCE VISION**  
Empower the regulatory workforce to support the changing needs of the department, customers and other stakeholders by enabling a culture of service; leveraging efficiencies enabled by the system; focusing on relevant and aligned competencies; and the use of consistent approaches and processes across the department – working as One Team

**GUIDING PRINCIPLES**

Consistent ways of working with clarity on roles, responsibilities and handoffs	A competency-based model to support career paths across the department	Co-delivery and consolidation of services, where appropriate	Coordinated regulatory activities to minimize impact on customer entities
Continuous learning and feedback from ongoing organizational transformation initiatives	Increased employee satisfaction through a focus on value-added activities and outcomes	Minimized change impact on personnel through communication, phasing and feedback	Organizational structures and capabilities aligned to changing business needs

**Exhibit 8: AgCSS Future Workforce Vision and the Role of Communication**

There is a continued opportunity, therefore, for the department to increase the level of communication within and across divisions by modeling and implementing a deliberate and sustained communication approach in deploying AgCSS and beyond.

**3.6 AGCSS COMMUNICATION ACTION PLAN TEMPLATE**

The AgCSS Communication Action Plan Template was designed as the driving tool for planning, scheduling, executing, and monitoring the effectiveness of communications for AgCSS stakeholders and audiences. With this template, the AgCSS OCM team continues to manage activities in support of communication needs and goals, and respond to findings from Change Readiness Assessments.



This section describes the structure, usage and content of the AgCSS Communication Action Plan Template (the template) found in Attachment II. The template has four key tabs:

- **Instructions** – describes the structure of the document and each tab.
- **Communication Action Plan** – the core tool for managing and tracking all AgCSS planned communications in support of communicating with AgCSS stakeholders and Change Champions. This tab will help FDACS ensure it provides the right information / message to the right stakeholders at the right time.
- **Audiences Analysis** – identifies AgCSS audience and stakeholder groups, and supports the alignment of communications with topics that are of concern or relevance to them.
- **Vehicles** – lists communication methods and events the AgCSS OCM Team may use to communicate relevant information to stakeholders.

The **Communication Action Plan Template** tab is organized into three main areas:

1. Key Information
2. Ownership, Tracking and Approvals
3. Audience Group

The Key Information section of the tab below tracks information about the purpose and mechanism of communication:

<b>Key Information</b>	<b>Next Delivery Date</b>	When the communication needs to be sent out
	<b>Title</b>	The specific name of the communication
	<b>Key Messaging / Purpose</b>	The reason for, and the objective of the communication
	<b>Vehicle</b>	The method for delivering the communication to the audience
	<b>Frequency</b>	How often does the communication occurs
	<b>Feedback Mechanism</b>	Description of the system in place for the audience to respond

The Ownership, Tracking and Approvals section of the tab enables the ability to manage, track, and govern the communication to ensure there is clarity of responsibility and accountability:

<b>Ownership, Tracking and Approvals</b>	<b>OCM Team Owner</b>	The OCM Team who owns the completion of communication
	<b>Content Owner</b>	The person(s) who provide content for communication
	<b>Content Approver</b>	The person(s) who needs to approve the communication
	<b>Distributed By</b>	The person responsible for sending the communication
	<b>Notes / Status</b>	Any additional information about the communication
	<b>Date Sent</b>	Date the communication was sent
	<b>File Location</b>	SharePoint location where a copy of the communication resides

The Audience Group section, which shows Audience Group and / or Stakeholders are scheduled to receive the communication:



Audience Group	<b>LEADERSHIP</b>	1. Executive Leadership 8. FDACS IT Governance
	<b>DIVISION DIRECTORS AND CHIEFS</b>	2. Division Directors / Office Directors / Assistant Directors 3. Bureau Chiefs / Section Chiefs
	<b>RLMS END USERS</b>	4. FDACS Staff RLMS End Users 5. Tax Collectors (External RLMS Users) 6. IT Support Staff
	<b>NON-RLMS USERS</b>	7. FDACS Staff (Non-RLMS Users)
	<b>INFORMATION PARTNERS</b>	9. External Stakeholders 10. Information Sharing Partners 11. As-Needed Information Partners
	<b>CUSTOMERS</b>	13. Customers, License and Permit Holders, Applicants, Consumers, General Public
	<b>CHANGE CHAMPIONS</b>	Change Champions

### Exhibit 9: AgCSS Communication Action Plan Column Definitions

The next tab, **Audience Analysis** helps the OCM Team or Lead understand and monitor audience groups by maintaining a snapshot view of how well targeted communication is facilitating the change progress.

<b>Audience Group</b>	Stakeholder group
<b>Stakeholder Group / Name</b>	Name
<b>Geographic Distribution</b>	Geographic location or distribution of the group
<b>Current Level of Awareness / Buy-In</b>	Current level of awareness or support for RLMS
<b>Desired Level of Awareness / Buy In</b>	Desired future level of awareness or support for RLMS
<b>Preferred Distribution Vehicle (s)</b>	The group's distribution vehicle preferences for receiving communications
<b>Notes</b>	Any other relevant information

### Exhibit 10: Audience Analysis Column Definitions

The baseline information currently pre-populated in this tab for the Current Level of Awareness / Buy-In and the Desired Level of Awareness / Buy-In is extracted from the Stakeholder Analysis Matrix and is meant to be updated over time (refer to Attachment II: AgCSS Communication Action Plan Template).

The **Vehicles tab** captures ownership of communication vehicles (such as Open Lines by Marketing and Development and the department's intranet by OATS). This tab logs what was communicated, who is responsible for the communication and tracks the effectiveness of specified communication mechanisms. This tab is also an inventory of communication vehicles that references Exhibit 6: Defined Communication Events.



<b>Vehicle Name</b>	The name of the recurring communication vehicle
<b>Description</b>	Briefly description of the communication vehicle
<b>Type</b>	Type of communication
<b>Audience</b>	Name of the audience or stakeholder(s) who receive the communication
<b>Distribution Method</b>	How the communication is disseminated
<b>Frequency of Vehicle</b>	How often is the communication / vehicle is sent out
<b>Initiative / Program Driver</b>	The reason for the communication (update, strategic, etc.)
<b>Contact Person</b>	Individual to contact to get information
<b>Contact Information</b>	How to reach the Contact Person for information
<b>Review Process</b>	Describe the review process and the timing for submission
<b>Feedback Mechanism</b>	How we are measuring the effectiveness of the communication
<b>Notes</b>	Any other information that would be helpful

### Exhibit 11: Vehicles Column Definitions

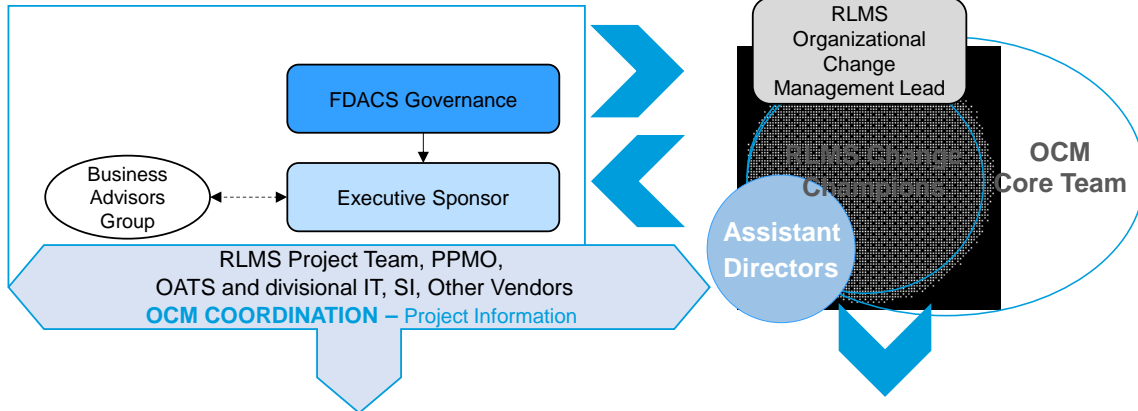
A Feedback Mechanism is a structured way to solicit feedback from a stakeholder or stakeholder group such as face-to-face interaction, via email or functionality on intranet / internet sites. Feedback is important because it allows the OCM Team to understand progress toward change and to fine-tune ongoing communication efforts. For instance, feedback can be used to enhance and further develop messages for FAQs.

### 3.7 AgCSS COMMUNICATION PLAN GOVERNANCE

Implementing the AgCSS Communication Plan is a key component of OCM execution. The exhibit below depicts the AgCSS OCM Functional Model developed in Stakeholder Analysis, OCM Assessment, and OCM Approach / Plan.



**OCM GOVERNANCE** – Strategy, Approvals, Recommendations



Communications, Collateral, Feedback – **OCM EXECUTION**



**Exhibit 12: AgCSS OCM Functional Model**

The exhibit below outlines the key roles and responsibilities needed for the successful management and execution of the AgCSS Communication Plan:

ROLE	RESPONSIBILITY
Communication Manager (the Owner, with the support of the Business Advisory Group)	<ul style="list-style-type: none"> <li>The AgCSS Organizational Change Management Lead responsible for coordinating the creation, review, approval, and distribution of project related communications.</li> </ul>
Content Authors, Delivery Channels and Contributors	<ul style="list-style-type: none"> <li>OCM Team individuals and Project Sponsors responsible for multiple roles relating to communication. Frequently, resources will be named on an ad hoc basis as a reviewer of content, such as system integrators or other third parties.</li> </ul>
Content Approver	<ul style="list-style-type: none"> <li>FDACS IT Governance individual responsible for providing final approval for communications prior to distribution.</li> </ul>

**Exhibit 13: AgCSS Communication Plan Execution – Roles and Responsibilities**

The AgCSS Communication Plan governance should be managed with consideration of these suggested supporting principles:

- An **agenda** is produced for meetings.
- Communication must receive **appropriate approval** before distribution. The AgCSS OCM Lead will secure needed governance approval of communications, as applicable.



- To reduce rework and duplication of effort, communication documents will be leveraged and distributed to achieve **multiple purposes**, where possible.
- Communication should **promote transparency** and be sent on a timely basis to all relevant parties.
- The most **effective communication vehicle** for each stakeholder or audience group should be used.
- The Communication Plan should include channels for **stakeholder feedback**.
- Communication plan governance is also about assigning accountability for managing a communication plan, making decisions on how to update and formally review the plan, and on how to use it to understand and track progress towards organizational change management success. North Highland recommends the following:**Updating** the AgCSS Communication Plan:
  - › **Who:** The AgCSS OCM Lead (the owner) or a designated OCM Team member.
  - › **When:** Specific triggers typically define when an update is needed. These include AgCSS releases / phases, input and feedback from stakeholders, issues that might arise during design, implementation and sustain. The owner of the plan is charged with recognizing and defining update triggers.
- **Reviewing:**
  - › It is the responsibility of the Business Advisory Group to perform periodic reviews of the plan and to escalate needs for approval of material changes to the plan by FDACS IT Governance.
  - › Reviews can occur as an agenda line item at pre-scheduled periodic meetings, unless there is a specific event that reveals a need for interim guidance or approvals.
- **Tracking** or noting the effect of the Communication Plan towards shaping shareholders' change progress is the responsibility of the Communication Plan owner.

### 3.8 PRE-IMPLEMENTATION ACTIVITIES

Steps that were completed prior to launching the AgCSS Communication Plan include:

1. Identified the AgCSS Organizational Change Management Lead (OCM Lead) and empowered them with the ownership of the OCM tools and templates.
2. Finalized the list of AgCSS Change Champions.
3. Launched the OCM Core Team (established, communicated roles, providing ongoing support).
4. Initiated feedback loop across impacted divisions and, where appropriate, stakeholders to further develop and maintain the AgCSS Communication Action Plan Template.
5. Obtained approval for the AgCSS Communication Plan.
6. Initiated, began tracking, managing and monitoring AgCSS project communications.



## SECTION 4 AGCSS CHANGE READINESS ASSESSMENT PLAN

The development of the AgCSS Change Readiness Assessment Plan was driven by the need to monitor the change experiences of impacted stakeholders and audiences throughout the AgCSS project. By using a series of periodic survey assessments, the department can be confident that stakeholders are continuing to progress through the phases of change as described by the Prosci ADKAR Model™.

A Change Readiness Assessment tells us if impacted stakeholders:

- Are **Aware** of the change that is coming.
- Have found a personal reason or **Desire** to learn about the change and move toward making the change.
- Have secured the **Knowledge** they need to execute the change.
- Have demonstrated their **Ability** to use their recently acquired knowledge.
- Are receiving the necessary **Reinforcement** to sustain the change once the initial change events occur.

The approach for assessing current and ongoing organizational change readiness has centered on conducting periodic surveys to collect data for evaluation, and interpreting these data using the change readiness assessment methodology found in Section 4.3.

### 4.1 CHANGE READINESS ASSESSMENT APPROACH

The starting point for Change Readiness Assessment activities was the results from the Stakeholder Analysis Matrix (developed in Deliverable D4A-B-C and found in Attachment I) which captured, by stakeholder or stakeholder group, perceived current levels of change readiness. The use and relevance of the matrix for guidance on approaches for change readiness activities is shown in the exhibit below.

		Aware of the Change	Understand the Change	Accept the Change	Committed to the Change	Champion
Unaware		3. FDACS Staff RLMS End Users (including first level supervisors, who are not section chiefs)			<b>OCM Desired End State</b> 	
		3. Tax Collectors (External RLMS Users)				
		10. Information Sharing Partners				
		6. Customers, License and Permit Holders, Applicants, Consumers, General Public				

Exhibit 14: Example Change Readiness Journey for Stakeholders

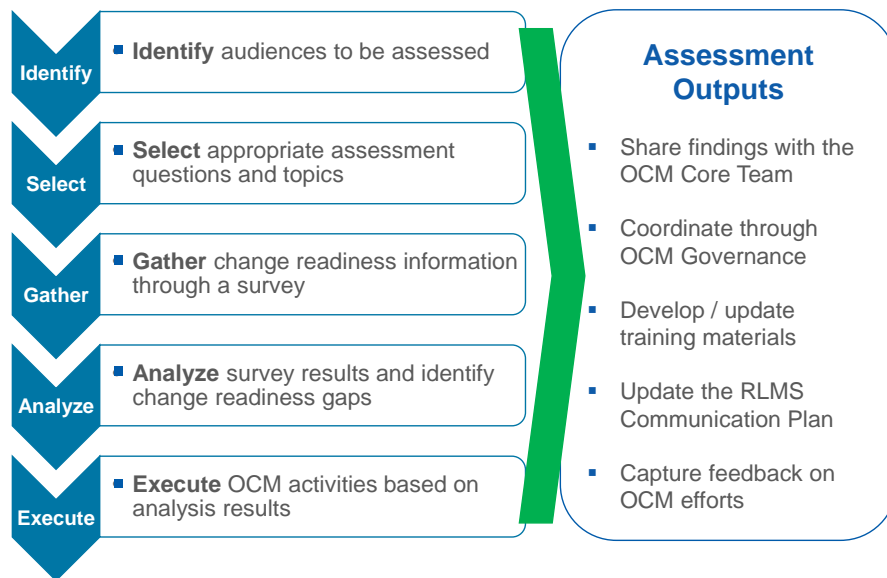


In this example, the four stakeholder groups above were initially assessed as being “Unaware of the Change.” Achieving change readiness for these groups means they become aware of the change, understand the change, and accept the change. In other words, these groups should end their change journey with personal motivation to move to the new AgCSS environment and use the system as designed.

A change readiness approach was therefore needed to capture, measure, and adjust for shifts in change readiness levels by stakeholder or audience. Based on change readiness measures, the AgCSS Project OCM Resources can:

1. Establish a (more) current and informed baseline understanding of change readiness by stakeholder / audience.
2. Identify change readiness gaps by stakeholder or audience.
3. Adjust OCM Execution Plans, as needed or change the communication approach towards audience.
4. Capture achievement of desired change adoption support levels (OCM Desired End State).

The exhibit below explains the required process steps in the change readiness assessment approach:



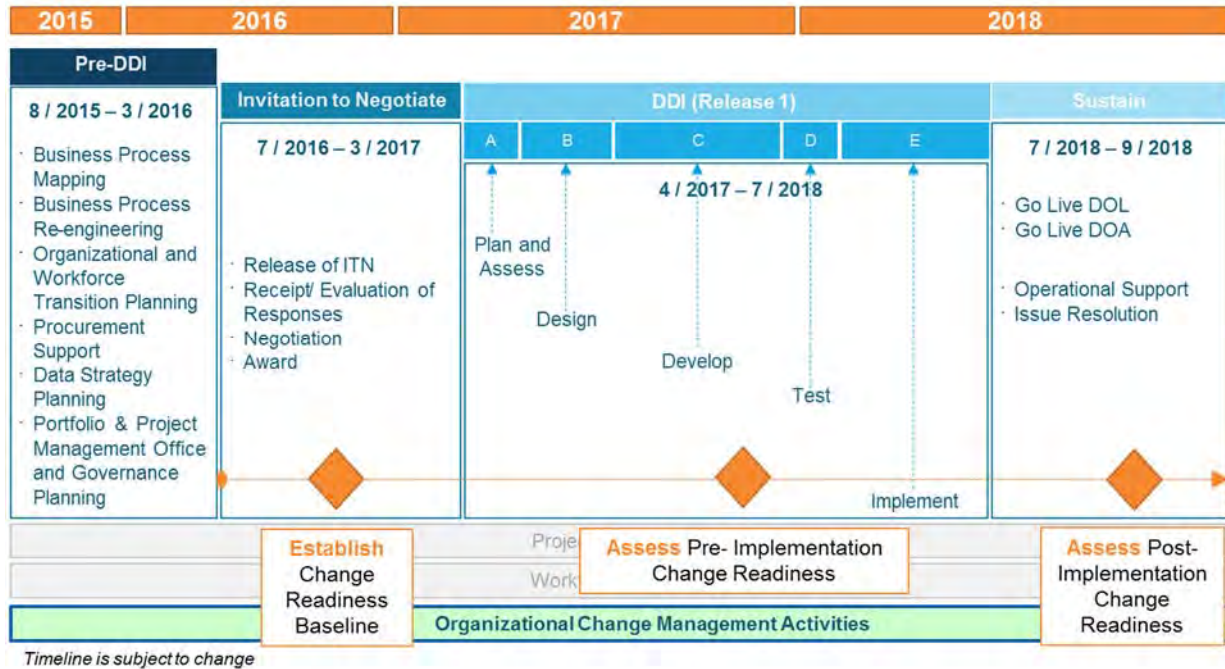
**Exhibit 15: Change Readiness Assessment Approach**

The approach depicted in the exhibit above is a **repeatable** process for OCM execution and is centered on periodically gathering data from (surveying) stakeholder or audience groups on a selective basis. Readiness assessment activities can be triggered by specific project milestones (such as releases, pilots or training events), by the pace of change adoption by





stakeholders, or by material changes in AgCSS deployment strategy, timing and / or outcomes. The exhibit below shows how change readiness assessments have and will continue to flow during the AgCSS project.



### Exhibit 16: Tracking Stakeholder Awareness and Buy-In Throughout AgCSS Project

Specific timing of each Readiness Assessment will continue to be determined by the AgCSS Project OCM Lead, and will depend upon the timing of other project activities.

## 4.2 CHANGE READINESS ASSESSMENT SURVEY QUESTIONS

This exhibit below presents Change Readiness Assessment Survey questions and how to interpret the results to measure organizational change needs and attitudes resulting from the AgCSS project throughout its releases.

### Awareness Questions



1. I understand the purpose and objectives of the AgCSS project.
2. I am aware of how AgCSS will benefit FDACS, our customers and consumers.
3. I understand how AgCSS will affect my division/office.
4. I understand how it will affect my role and day-to-day job.
5. I understand the risks of not doing AgCSS.
6. The purpose of the AgCSS project has been well-communicated.

#### **Desire Questions**

1. I want to support the changes that AgCSS is bringing.
2. I want to know more about that AgCSS project.
3. I am excited by the opportunities the AgCSS project will create.
4. I know how the AgCSS project will benefit me on a personal level.
5. I look forward to the new working environment that the AgCSS system will enable.
6. My peers demonstrate support for the AgCSS project.
7. My supervisors demonstrate support for the AgCSS project.
8. FDACS leadership demonstrates support for AgCSS.

#### **Knowledge Questions**

1. I know where to go to find out more information about AgCSS.
2. I have a clear understanding of the skills I will need to perform my role with the new system.
3. I am being given the necessary training to help me perform my role with the new system.
4. My supervisor has the necessary skills to lead our team through the implementation of AgCSS.
5. The right people have been involved in the project to ensure AgCSS will be successful.

#### **Ability Questions**

1. I have the ability to implement the new skills to use the new system.
2. I have practiced performing with the new system.
3. I can get support when I have problems and questions.
4. I can see a clear connection between improving individual skills and broader AgCSS/FDACS benefits.
5. I understand the need to change our current methods of working.
6. My supervisor supports my skills development.
7. FDACS leadership helps me develop my skills.

#### **Reinforcement Questions**



1. I am committed to supporting the AgCSS project.
2. The organization is committed to implementing AgCSS and to the changes it brings.
3. There are incentives in place to reinforce the achievement of AgCSS project objectives.
4. I am committed to helping others see the value in the AgCSS project.
5. Customers are seeing improved value and service from AgCSS.

**Note:** Each question answer will be calculated as a numeric equivalent so that the data may be quantified for analysis. The word/numeric scale will be:

**-2.0 = Strongly Disagree, -1.0 = Disagree, 0.0 = Neutral, 1.0 = Agree, 2.0 = Strongly Agree**

### Exhibit 17: Change Readiness Assessment Survey Questions

#### 4.3 CHANGE READINESS EVALUATION METHODOLOGY

This section presents the evaluation methodology used for drawing insights from the change readiness assessments and for integrating these insights into OCM workstream activities. There are four steps to the process as outlined below:

**Gather Data** from surveys of FDACS staff and other stakeholders as well as project-related information shared by other AgCSS workstreams.

**Aggregate and Visualize Data** to present and enable the evaluation of stakeholder-specific change readiness levels. The exhibit below shows an example of capturing results from surveys at an aggregate level.

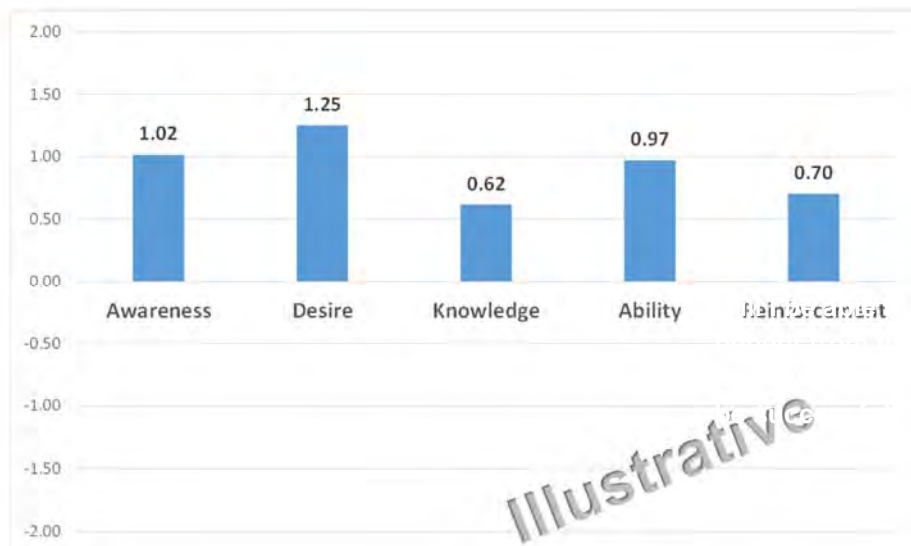
2.0 = Strong Agreement  
with Readiness  
Statements

1.0 = Agreement

0.0 = Neutral

-1.0 = Disagreement

- 2.0 = Strong  
Disagreement



Illustrative



### Exhibit 18: Example: Measuring Overall Change Readiness

The Change Readiness Assessment Survey questions also included an unstructured field for comments and suggestions. These qualitative responses have and will continue to be aggregated and presented in a manner similar to the table in the exhibit below:



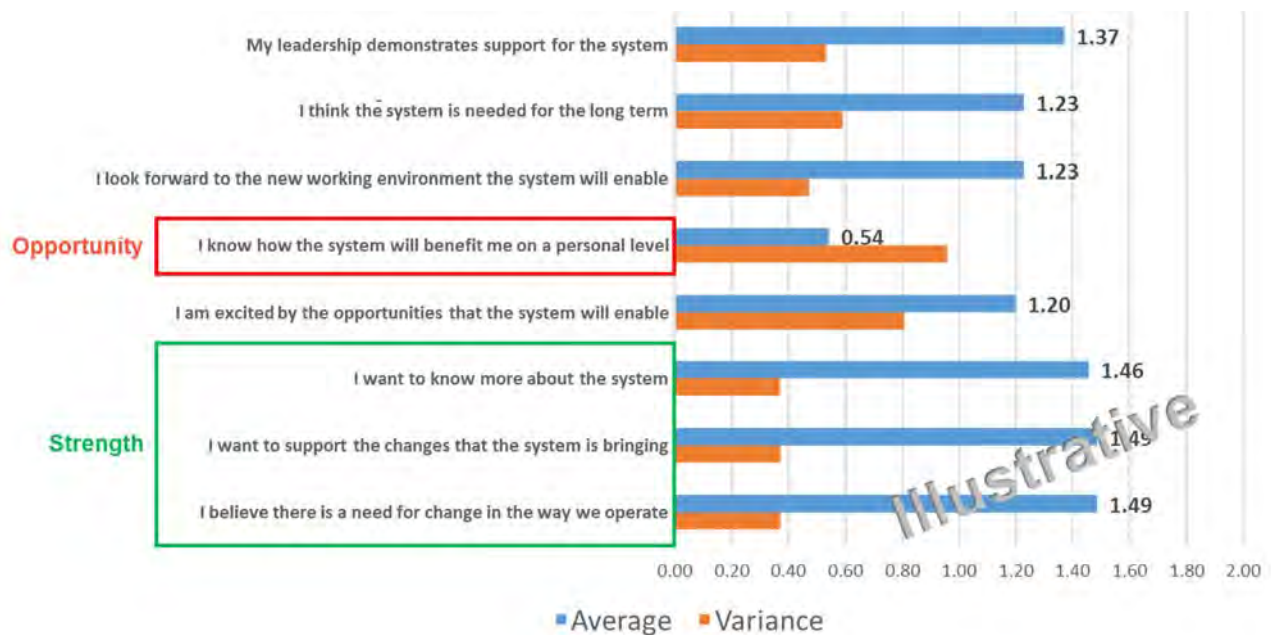
KEY CHANGE READINESS ASSESSMENT SURVEY QUOTES

ENABLERS WHAT I LIKE MOST ABOUT AgCSS...	BARRIERS WHAT CONCERNS ME ABOUT AgCSS...
Gives us the tools to perform better in our area of expertise	Will we receive the necessary resources to make AgCSS successful (5 similar mentions)
New opportunities and improved processes	There are a lot of parts to be implemented, so time, people and money will be needed to have it successfully completed
[other positive feedback text]	[other opportunities for improvement]

Exhibit 19: Summarizing Qualitative Change Readiness Assessment Survey Results

**Perform Analysis**, once the data have been captured and visualized, in order to draw meaning from the results. It is important the specific results are interpreted in light of the context and knowledge of the department’s organizational structures, the current levels of the impact of the project on stakeholders, communication efforts executed to date, and culture. Conclusions and findings are being developed based upon results that are compared to previously established baselines, including exploration of any emerging trends or themes that have been identified.

The following exhibit illustrates a way responses are being analyzed. For example, this diagram explores response scores and variance. The items in the green box have an average response score above “1,” which is positive. Additionally the variance scores are low, which means most respondents answered similarly. The red box below indicates a negative response with a score of less than “1,” and respondents provided a broad distribution of scores, suggesting divergent views.





## Exhibit 20: Measuring Desire – Analysis Results

Using the scale in this analysis (which is consistent with the readiness survey response options) the values of “1” and above would be considered positive/strengths; answers between “1” and “0” would indicate opportunities for improved communications and OCM activities; and anything below “0” would be considered an area for concentrated OCM effort.

**Disseminating Change Readiness Findings and Insights** to key stakeholders and the AgCSS Project Team, and using these outputs as a basis for adjusting OCM, training and communication activities to facilitate AgCSS change readiness.



## **SECTION 5 ATTACHMENTS**

### **5.1 ATTACHMENT I: STAKEHOLDER ANALYSIS MATRIX**

Working document - see Project SharePoint repository for latest version

### **5.2 ATTACHMENT II: AgCSS COMMUNICATION ACTION PLAN TEMPLATE**

### **5.3 SEE PROJECT SHAREPOINT REPOSITORY FOR LATEST VERSION D4A-B-C STAKEHOLDER ANALYSIS, OCM ASSESSMENT, AND OCM APPROACH / PLAN**

See Project SharePoint repository for latest version

**SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS**

**Budget Period: 2018- 2019**

**Department:** Agriculture and Consumer Services

**Chief Internal Auditor:** Nedra Harrington

**Budget Entity:** \_\_\_\_\_

**Phone Number:** (850) 245-1367

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
IA 1617-01	February 4 - 15, 2016, through February 29, 2016	Florida State Fair Authority - Attendance and Gate Admission Revenue	<p><b>Finding:</b> In our opinion, the attendance of 395,435 and gate admission revenue of \$3,060,730 pertaining to the 2016 Fair, as of February 29, 2016, are fairly stated in all material respects.</p> <hr/> <p><b>Finding:</b> (FAIR BANK PROCEDURES) During last year's Fair, OIG personnel observed the procedures followed by the ticket office tellers and determined that it took an inordinate amount of time for several of the tellers to close out the sellers, and a few were unsure of how to process all transactions contained within the bank bags. Therefore, the OIG recommended that Fair management implement plans to modify the training provided to ticket office tellers to increase their efficiency in completing assigned tasks.</p> <p>Based on our review of training attendance records, we determined that all but one ticket office teller attended the training provided by Fair management prior to the 2016 Fair. According to the Fair's Controller, the training consisted of group sessions and included hands-on experience with actual prior settlements (i.e. closeout of bank bags).</p> <p>Based on the observations of OIG staff during the 2016 Fair, the ticket office tellers generally appeared to be more proficient in performing their assigned duties.</p>	<p>Fair management provided training to the ticket office tellers in January 2017.</p>	



REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Recommendation:</b> Fair management should continue to ensure mandatory hands-on training is provided to new ticket office tellers, with training optional for returning tellers.</p>		
			<p><b>Finding:</b> (DELAY IN FAIR REPORTS) For the past two years, there were delays in the completion of the daily sales and deposit reconciliation reports by Fair management. The main contributor to the delay was the limited experience of the midway sellers in using the FunCard system, resulting in the selection of the wrong option on the system when processing a transaction. This created difficulties for the ticket office tellers in closing out the sellers and necessitated subsequent research and adjustments by Fair management to ensure a proper reflection of midway sales.</p> <p>After the 2015 Fair, the OIG recommended that Fair management implement plans to modify the training provided to midway sellers to reduce their errors when processing transactions. In response, Fair management provided mandatory training to both the gate and midway sellers prior to the 2016 Fair. According to the Fair's Controller, each midway seller was given one-on-one, hands-on experience using the FunCard system before group training was provided. The training, along with the ability to scan Walgreen vouchers and the elimination of multiple price points for armbands during the day (discussed in more detail later in the report), reduced the potential for errors being made by the midway sellers.</p>	<p>Training for both the gate and midway sellers occurred during January and February 2017. In addition, documentation to support the majority of the seller's participation in training was maintained.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p>The OIG's review of training attendance records determined that the majority of the gate and midway sellers attended the training. However, documentation did not exist to substantiate attendance for one midway and 2 gate sellers. According to the Ticket Office Manager, the three sellers did attend training; however, their respective attendance records had been misplaced.</p> <p><b>Recommendations:</b> Fair management should ensure mandatory hands-on training is provided to all new sellers, with training optional for returning sellers. In addition, attendance records should be maintained for all training participants.</p>		
			<p><b>Finding:</b> (PLACING SELLERS ON NOTICE FOR SHORTAGES) Fair Policies and Procedures specify that for a ticket seller who shows a shortage in excess of \$100, or who shows repeated shortages of at least \$20 that total over \$100, the Ticket Office Manager and the Controller have the option to place the seller on notice and track their progress over the remainder of the Fair. In addition, policy states when a seller's combined shortages exceed \$150, notice should be required unless circumstances come to the attention of the Controller to waive this requirement.</p> <p>For the 2015 fair, the OIG's review of seller shortages determined that three midway sellers had single shortages in excess of \$150, and according to the Ticket Office Manager, the sellers received a verbal notice on the day the shortage occurred. The OIG made a recommendation that Fair management should consider providing a written notice to any seller with a single shortage in excess of \$150. This notice should be acknowledged through signature and a copy maintained.</p>	<p>As of July 2017, Fair management has not revised the Fair policies and procedures to include the requirement that a written notice be provided to a seller that experiences a single shortage or combined shortages that are in excess of \$150. In addition, for the 2017 Fair, written notices were not provided to sellers that experienced the aforementioned shortage threshold amounts.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Finding:</b> Our review of seller shortages for the 2016 Fair determined that six sellers had combined shortages in excess of \$150, with two of the six sellers having single shortages in excess of \$150. According to the Ticket Office Manager, the sellers were counseled verbally; however, no written notices were issued.</p> <p><b>Recommendation:</b> Fair management should revise Fair policies and procedures to include the requirement that a written notice be provided to a seller that experiences a single shortage or combined shortages that are in excess of \$150. This notice should be acknowledged through signature and a copy maintained.</p> <p><b>Finding:</b> (SALES PROMOTIONS) During the 2016 Fair, a College Day BOGO sales promotion was utilized. For the promotion, the customer would purchase a full price ride armband and the customer's friend would be given a ride armband for free. During the Fair, it became evident that internal controls were not sufficient to ensure the promotion operated as intended.</p> <p><b>Recommendation:</b> Fair management should ensure sufficient controls can be implemented to ensure promotions offered by the Fair operate as intended.</p>	<p>The Controller believes that BOGO promotions cannot be sufficiently controlled in the current midway sales system without inordinately consuming the time and resources of management. Thus midway BOGO promotions will no longer be offered unless these issues can be sufficiently mitigated.</p>	
IA 1617-04	September 2016	Department's User Account Reviews for Mission Critical Applications	The audit results are confidential.	The divisions have either implemented, or are in the process of implementing, procedures to ensure that user account reviews are performed in accordance with the department's AP&Ps.	
IA 1617-05	July 1, 2013 through October 31, 2016	Florida Agricultural Center and Horse Park Authority, Inc.	<p><b>Finding:</b> (Bylaws) The purpose of the bylaws is to assist an organization in governing itself by defining key functions and establishing the role of board members and officers. The Horse Park provided the OIG with a copy of its bylaws; however, the Horse Park was unable to locate a signed copy of the bylaws.</p>	At the February 1, 2017, meeting of the Executive Committee, members reviewed and signed the bylaws. At the February 8, 2017, meeting of the entire Board of Directors, all members reviewed and signed the bylaws and a copy was placed in the permanent records.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Recommendation:</b> The Horse Park should ensure a signed copy of its bylaws is maintained.</p> <p><b>Finding:</b> (Public Meetings Notice and Meeting Quorum) The Horse Park held seven board meetings during the review period. Only one board meeting, occurring on December 3, 2015, was not noticed in accordance with Section 120.525, Florida Statutes.</p> <p>The OIG reviewed the board meeting minutes to determine whether a quorum of members was present. According to the board meeting minutes, a quorum was present for all seven meetings.</p> <p><b>Recommendation:</b> The Horse Park should ensure all board meetings are properly noticed.</p>	<p>The Horse Park has put in place a system of multiple reviews to ensure that future meetings are properly noticed with the dates and location of all meetings to be held by the board or the Executive Committee.</p>	
			<p><b>Finding:</b> (Contract 20225) The OIG's review concluded that the expenditures were consistent with the scope of work and the terms stated in the contract, and invoices were maintained to substantiate the expenditures.</p> <p><b>Finding:</b> (Contract 21784) The OIG's review concluded that the expenditures were consistent with the scope of work and the terms stated in the contract. However, the OIG identified the following deficiencies in the documentation used to substantiate payroll disbursements.</p> <ul style="list-style-type: none"> <li>• Eight of the 54 timesheets were missing to substantiate payroll records for the period, November 2014 to June 2015.</li> <li>• Three of the 54 timesheets were not signed by the employee.</li> </ul> <p><b>Recommendations:</b> The Horse Park should ensure timesheets are maintained to support all payroll disbursements. In addition, timesheets should be completed and signed by all employees prior to the distribution of payroll</p>	<p>The Horse Park has put in place a system of time sheet submittal that includes the employee's signature on all timesheets submitted for pay. The Horse Park has also reconfigured the employee timesheet filing system to properly maintain the support needed for payroll disbursements.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Finding:</b> (Contract 23554) As of November 18, 2016, the Horse Park has not submitted any invoices for reimbursement, therefore, the OIG did not perform a review of expenditures for this contract.</p> <p><b>Recommendation:</b> No recommendation required.</p>		
IA 1617-06	September 2016	Office of Agricultural Water Policy - Number of Water Policy Assist Provided to Agricultural Interests	<p><b>Finding:</b> The OIG determined that the number reported of 2,245 for actual performance for Fiscal Year 2015-2016, for the measure, Number of Water Policy Assists Provided to Agricultural Interests, is not fairly stated.</p> <p><b>Finding:</b> (Revision to Validity and Reliability Statement). The Glossary section of the Validity and Reliability (V&amp;R) statement defines a water policy assist as “a contact with an agricultural interest regarding one or more of the programs that the Office of Agricultural Water Policy (OAWP) provides for the implementation of Best Management Practices (BMPs) adopted by department rule for the purpose of improving water quality and conservation.” Examples include providing information on OAWP programs, BMP development and implementation, on-farm technical assistance, assistance with regulatory exemptions determinations, and inter-agency coordination on water policy development.</p> <p>The Data Sources and Methodology section of the V&amp;R statement defines “assists” as “visits to agricultural operations for BMP enrollment or implementation assurance.” The definition in the Glossary implies the reported number will include all assists; however, the intent of the OAWP is to count the number of assists based</p> <p><b>Recommendation:</b> The OAWP should revise the V&amp;R statement to clarify what constitutes an assist for reporting purposes.</p>	<p>The OAWP has revised the V&amp;R statement to clarify what constitutes an assist for reporting purposes.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Finding:</b> (Not All Notice of Intents Signed During the Fiscal Year Were Reported). To obtain the number of Notice of Intent's (NOI's) to report for Fiscal Year 2015-2016, the OAWP performs a query of the BMPTS2 to capture NOI's with a signature date that corresponds to the reporting period.</p> <p>The OIG determined that 15 NOI's were signed during the fiscal year; however, the NOI's had not been recorded in the Best Management Practices Tracking System (BMPTS2) prior to the query being performed.</p> <p><b>Recommendation:</b> The OAWP should ensure all NOI's signed during the fiscal year are recorded in the BMPTS2 prior to the query being performed.</p> <p><b>Finding:</b> (Not All Implementation Assurances Conducted During the Fiscal Year Were Reported). During the 3rd quarter of Fiscal Year 2015-2016, the process of entering the Implementation Assurances (IAs) into the BMPTS2 was halted due to the system's limited capabilities to efficiently track IAs. To address the system limitations, the OAWP implemented the use of an Excel spreadsheet to track IAs.</p> <p>The OIG determined that 536 IAs recorded in the Excel spreadsheet were inadvertently excluded from the number reported.</p>	<p>The OAWP is currently developing a new system to track enrollments and BMP verifications (previously "Implementation Assurance"). All new enrollments and verifications will be entered directly into the system by field staff and contractors, eliminating the disconnect between the paper versions of forms and the eventual electronic record. Because the staff and contractors will be entering their own records, the system-generated NOI number will be available immediately, which will assist with tracking in technician logs for contract purposes. It is expected that the electronic system will be ready for field testing by the end of calendar year 2017, with full deployment to the field staff by the end of Fiscal Year 2017-2018. The completion and deployment of the system will be done in multiple phases, including</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Recommendation:</b> The OAWP should ensure IAs are reported from all systems used to track IAs.</p> <p><b>Finding:</b> (Duplicate IAs Reported) Based on the OIG's review of supporting documentation and discussions with the OAWP staff, the OIG determined that 10 IAs included in the number reported were duplicates.</p> <p>The OAWP indicated that when more than one technician works on an IA, the OAWP's intention is to give credit to the additional technician(s) for contributing to the assist. This method of giving credit to multiple technicians resulted in 5 duplicate IAs being reported. The remaining 5 duplicates occurred during the transfer of IA data between an Excel tracking sheet and the BMPTS2.</p> <p><b>Recommendation:</b> The OAWP should ensure that the numbers reported do not include duplicates.</p>		
IA 1617-09	May 2017	Department's Personnel Records Management	The audit results are confidential.	The department has either implemented, or are in the process of implementing, procedures to address the control deficiencies identified during the audit.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG 2017-180	June 2016	Federal Awards	<p><b>Finding No. FA 2016-006:</b> The FDACS did not always correctly report sponsor data in the U.S. Department of Agriculture (USDA), Food and Nutrition Service (FNS), FNS-10 Report of School Program Operations.</p> <p><b>Recommendation:</b> The Auditor General recommends that the FDACS enhance procedures to ensure that all amounts are correctly reported in FNS-10 reports.</p>	<p>FDACS has developed enhanced procedures to ensure all amounts in each Part of the FNS-10 are correctly reported.</p> <p>All information reported in the FNS-10 is subject to revision based on audits, investigations, or management evaluations, and amounts may alter from month to month as Program Operators make administrative adjustments; however, the FNS-777 report, which is submitted to the U.S. Department of Agriculture following the end of the 4th quarter of the fiscal year reconciles the monthly FNS-10 amounts with final financial data for all Child Nutrition Cluster programs. It is considered the final financial reconciliation and closeout for each fiscal year. Part B of the FNS-10 for October 2015 has been revised to reflect the most up to date information</p>	



REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Finding No. FA 2016-007:</b> FDACS procedures were not adequate to ensure that subrecipient audit reports were obtained and reviewed for all subrecipients and subrecipient deficiencies were timely followed up on.</p> <p><b>Recommendation:</b> The Auditor General recommends that FDACS enhance controls to ensure that all subrecipients obtain and submit to the FDACS audit reports as required by Federal regulations, all applicable findings are followed up on, and management decisions are timely issued.</p>	<p>As identified in the Office of the Chief Inspector General Report 2016-02, Enterprise Assessment of Single Audit Act Activities Across Selected State Agencies, the State of Florida does not maintain a public database of completed Single Audit Reports. In lieu of a central repository, FDACS will continue to utilize Child Nutrition Cluster reimbursement data from the prior fiscal year to identify subrecipients who are most likely to expend \$750,000 or more in Federal awards each fiscal year. FDACS will contact each identified subrecipient to determine whether an audit is required. FDACS will also conduct monthly reviews of the audit tracking</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			<p><b>Finding No. FA 2016-008:</b> The FDACS did not notify Child Nutrition Cluster sponsors that, as of October 1, 2015, the terms and conditions of the Federal award had been revised.</p> <p><b>Recommendation:</b> The Auditor General recommends that FDACS management establish procedures to ensure that sponsors are timely notified of changes in Federal award terms and conditions.</p>	<p>FDACS has established a temporary procedure to annually notify its subrecipients of the Federal Award Identification Number (FAIN); the Federal Award Date; and the Subaward Period of Performance Start and End Date of each Federal award as specified in 2 CFR 200.331(a). This information is available for Fiscal Year 2016-2017 in the "Download Forms" section of the Florida Automated Nutrition System (FANS) under the "Federal Award Information" tab. Subrecipients were advised of the availability of this information through the FDACS weekly communication. Moving forward, FDACS will notify subrecipients on November 1st</p>	

Office of Policy and Budget - July 2017

## Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Florida Department of Agriculture and Consumer Service

Agency Budget Officer/OPB Analyst Name: Derek Buchanan/ Eddie Phillips

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)															
	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700

### 1. GENERAL

1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? <b>(CSDI)</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? <b>(CSDI)</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

### AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. <b>(EXBR, EXBA)</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? <b>(CSDR, CSA)</b>	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

<b>TIP</b> The agency should prepare the budget request for submission in this order: 1) Lock columns as described above after all audits have been corrected, reports are complete, and data verified for final submission; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status. <b>A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.</b>																
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### 2. EXHIBIT A (EADR, EXA)

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

Action	Program or Service (Budget Entity Codes)															
	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
<b>3. EXHIBIT B (EXBR, EXB)</b>																
3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>																
3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
3.3 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Generally look for and be able to fully explain significant differences between A02 and A03																
TIP Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.																
TIP Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.																
<b>4. EXHIBIT D (EADR, EXD)</b>																
4.1 Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 62 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
4.2 Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.																
<b>5. EXHIBIT D-1 (ED1R, EXD1)</b>																
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>																
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [with a \$5,000 allowance] need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
5.4 A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences [with a \$5,000 allowance at the department level] need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
TIP If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.																
TIP If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.																
TIP Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.																

Action	Program or Service (Budget Entity Codes)															
	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.																
<b>6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)</b>																
6.1 Are issues appropriately aligned with appropriation categories?																
TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.																
<b>7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)</b>																
7.1 Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.2 Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See pages 67 through 69 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.3 Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.6 Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.7 Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.9 Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.10 Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #18-005?	Y	N/A	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	N/A	Y	N/A	N/A	N/A	N/A
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)															
	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
7.16 Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	Y	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
<b>AUDIT:</b>																
7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? ( <b>GENR, LBR1</b> )	Y	N/A	N/A	N/A	N/A	N/A	N/A	Y	N/A	Y	N/A	Y	N/A	N/A	N/A	N/A
7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? ( <b>GENR, LBR2</b> )	N/A	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A	N/A
7.22 Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? ( <b>GENR, LBR3</b> )	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	Y	N/A	Y	N/A	N/A	N/A	N/A	N/A
7.23 Have FCO appropriations been entered into the nonrecurring column (A04)?( <b>GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L)</b> )	N/A	Y	Y	N/A	Y	Y	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A
TIP Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run <b>OADA/OADR</b> from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.																
TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 of the LBR Instructions.																
TIP Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXXX0 issue amounts correspond accurately and net to zero for General Revenue funds.																
TIP If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).																
TIP If an appropriation made in the FY 2017-18 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.																
<b>8. SCHEDULE I &amp; RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)</b>																
8.1 Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.2 Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.3 Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)															
	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
8.4 Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.5 Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative; fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.6 Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.7 If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.8 If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.9 Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.24 Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)															
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8.25 Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>AUDITS:</b>																
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? ( <b>SC1R, SC1A - Report should print "No Discrepancies Exist For This Report"</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.32 Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. ( <b>SC1R, DEPT</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.33 Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
8.34 Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>TIP</b> The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!																
<b>TIP</b> Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.																
<b>TIP</b> Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.																
<b>TIP</b> Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.																



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<b>9. SCHEDULE II (PSCR, SC2)</b>																	
AUDIT:																	
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See Base Rate Audit on page 158 of the LBR Instructions.)																
	Y	Y	Y	Y	Y	N/J	Y	Y	Y	Y	Y	Y	Y	Y	N/J	Y	Y
<b>10. SCHEDULE III (PSCR, SC3)</b>																	
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)																
	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	Y	N/A	N/A
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.																
	Y	NA	NA	NA	NA	NA	NA	Y	NA	Y	NA	Y	NA	NA	NA	NA	NA
<b>11. SCHEDULE IV (EADR, SC4)</b>																	
11.1	Are the correct Information Technology (IT) issue codes used?																
	NA	NA	NA	NA	NA	NA	Y	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.																
<b>12. SCHEDULE VIIIA (EADR, SC8A)</b>																	
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.																
	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>13. SCHEDULE VIIIB-1 (EADR, S8B1)</b>																	
13.1	<b>NOT REQUIRED FOR THIS YEAR</b>																
<b>14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)</b>																	
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)																
	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)</b>																	
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?																
	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?																
	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?																
	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA

Action	Program or Service (Budget Entity Codes)															
	42010100	42010200	42010300	42010400	42010600	42110400	42120100	42150200	42160100	42160200	42170100	42170200	42170300	42170500	42170600	42170700
<b>AUDIT:</b>																
15.6 Do the issues net to zero at the department level?(GENR, LBR5)	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
<b>16. SCHEDULE XI (USCR,SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)</b>																
16.1 Agencies are required to generate this spreadsheet via the LAS/PBS Web. <b>The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.</b> (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>AUDITS INCLUDED IN THE SCHEDULE XI REPORT:</b>																
16.3 Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? ( <b>GENR, ACT1</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.4 None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? ( <b>Audit #1 should print "No Activities Found"</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.5 Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? ( <b>Audit #2 should print "No Operating Categories Found"</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.6 Has the agency provided the necessary standard (Record Type 5) for all activities which should appear in Section II? (Note: <b>Audit #3</b> will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
16.7 Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? ( <b>Audit #4 should print "No Discrepancies Found"</b> )	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
<b>TIP</b> If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.																
<b>17. MANUALLY PREPARED EXHIBITS &amp; SCHEDULES (Required to be posted to the Florida Fiscal Portal)</b>																
17.1 Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.2 Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.3 Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
17.4 Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: <b>IT@LASPBS.STATE.FL.US?</b>	NA	NA	NA	Y	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
17.5 Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	NA	Y	Y	NA	Y	Y	NA	NA	NA	NA	NA	Y	NA	NA	NA	NA

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<b>AUDITS - GENERAL INFORMATION</b>																
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.															
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.															
<b>18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)</b>																
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?															
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?															
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?															
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?															
18.5	Are the appropriate counties identified in the narrative?															
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?															
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.															
<b>19. FLORIDA FISCAL PORTAL</b>																
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?															