State of Florida
Department of Children and Families

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Rick Scott
Governor

Mike Carroll
Secretary

September 15, 2017

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

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

Mike Hansen, Staff Director
Senate Committee on Appropriations
201 The Capitol
Tallahassee, FL 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, the Legislative Budget Request for the Department of Children and Families is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of the department's proposed needs for Fiscal Year 2018-19.

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

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

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

Sincerely,

Mike Carroll
Secretary

1317 Winewood Boulevard, Tallahassee, Florida 32399-0700

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

Florida Department of Children and Families
Temporary Special Duty – General Pay Additives Implementation Plan
Fiscal Year 2018-2019

Pursuant to Section 110.2035(7)(b), F.S., this is the Florida Department of Children and Families (DCF) written plan for implementing temporary special duties – general pay additives for Fiscal Year 2018-19. DCF requests approval to continue long-standing pay additives. The agency is not requesting any additional rate or appropriations for these additives.

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

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

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

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

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

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

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

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

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

6. A total of 112 F.T.E. Career Service positions will receive the pay additive. The positions are in the following classifications:
   - Human Service Worker I
   - Human Service Worker II

7. These pay additives have been provided for at least the past 13 years. There were 67 positions that received the additive during the 2011-2012 Fiscal Year.

8. Annual Cost approximately $146,958.86.

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

Specialty Care Additive
Florida State Hospital (FSH) has one (1) position that received a Temporary Special Duty – General pay additive for working in the medically complex geriatric area (Special Care Level II). The justification for this Temporary Special Duty – General Pay Additive is as follows:

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

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

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

4. A total of one (1) F.T.E. Career Service position receives the pay additive. The position is in the following Career Service classification:
   ▪ Human Service Worker I

5. This pay additive have been provided for at least the past 13 years.

6. Annual Cost approximately $1,079.52.

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

Child Protective Investigator/ Senior Child Protective Investigator/Support Positions Pay Additive
These positions are responsible for conducting investigations regarding allegations of abuse, neglect, abandonment and/or special conditions for children; Collects information through interviews with the children, parents, relatives, neighbors, and other parties associated with the case; and engages families, identifies needs and determines the level of intervention needed to include voluntary services or court ordered dependency services; provides services linkages to agency and community resources based on needs assessment. The justification for this Temporary Special Duty – General Pay Additive is as follows:

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

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

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

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

5. A total of 100 F.T.E. Career Service positions will receive the pay additive.

6. These pay additives have been provided for the past <u>4</u> years.

7. Annual Cost approximately $215,748.67.

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

Abuse Registry Counselor (Hotline) Pay Additive

This position receives and assesses allegations of abuse, neglect or abandonment of children, and abuse, neglect of exploitation of vulnerable adults. Determines if the information meets statutory criteria for an investigation of referral to an aproprate agency. Enters abuse reports in the appropriate information system. Researches appropriate information systems to determine prior history to assist in the safety and risk assessment of alleged victim. The justification for this Temporary Special Duty – General Pay Additive is as follows:

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

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

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

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

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

6. These pay additives have been provided for the past <u>5</u> years.

7. Annual Cost approximately $114,354.50.

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

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

DEPARTMENT LEVEL EXHIBITS & SCHEDULES
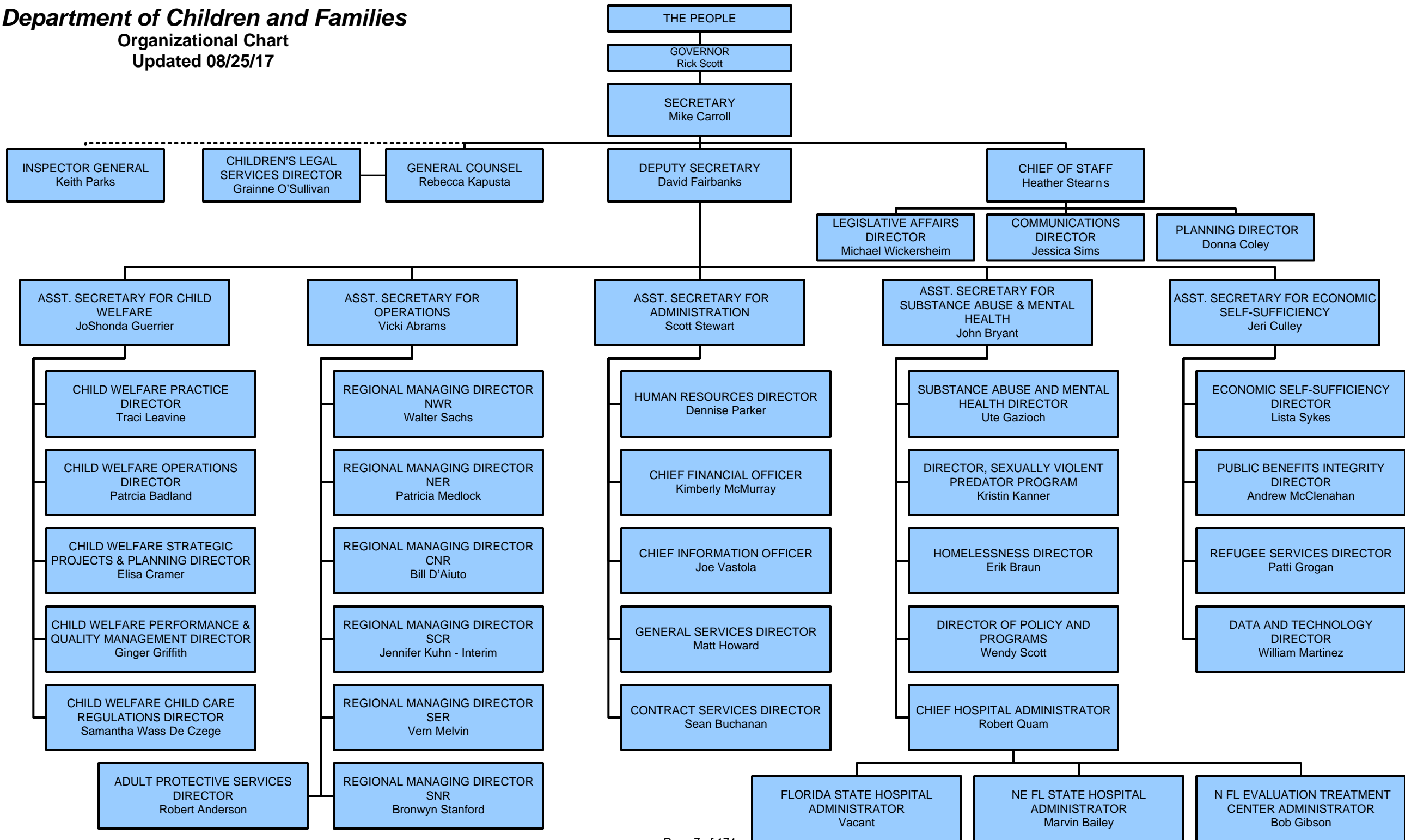
Schedule VII: Agency Litigation Inventory

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

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

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

Plaintiff seeks to have the court declare the Legislative Proviso invalid and unconstitutional and seeks separate counts of breach of contract for each Lease. |
| Amount of the Claim: | Plaintiff seeks declaratory and injunctive relief as to the Proviso, and seeks compensatory damages, attorney's fees, costs of suit, and pre and post judgment interest relating to the breach of contracts. |

Specific Statutes or Laws (including GAA) Challenged:	Florida Statute, section 255.2502	
Status of the Case:	DCF's Motion To Dismiss was denied. The Florida House of Representatives and mortgage lender have intervened. Discovery is ongoing and parties are preparing Motions for Summary Judgment.	
Who is representing (of record) the state in this lawsuit? Check all that apply.		Agency Counsel
	X	Office of the Attorney General or Division of Risk Management
		Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

Office of Policy and Budget – July 2017

Department of Children and Families
Organizational Chart
Updated 08/25/17

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THE PEOPLE
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GOVERNOR
Rick Scott
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SECRETARY
Mike Carroll
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INSPECTOR GENERAL	CHILDREN'S LEGAL	GENERAL COUNSEL	DEPUTY SECRETARY	CHIEF OF STAFF
Keith Parks	SERVICES DIRECTOR Grainne O'Sullivan	Rebecca Kapusta	David Fairbanks	Heather Stearns

LEGISLATIVE AFFAIRS DIRECTOR Michael Wickersheim	COMMUNICATIONS DIRECTOR Jessica Sims	PLANNING DIRECTOR Donna Coley

ASST. SECRETARY FOR CHILD WELFARE JoShonda Guerrier	ASST. SECRETARY FOR OPERATIONS Vicki Abrams	ASST. SECRETARY FOR ADMINISTRATION Scott Stewart	ASST. SECRETARY FOR SUBSTANCE ABUSE & MENTAL HEALTH John Bryant	ASST. SECRETARY FOR ECONOMIC SELF-SUFFICIENCY Jeri Culley
CHILD WELFARE PRACTICE DIRECTOR Traci Leavine	REGIONAL MANAGING DIRECTOR NWR Walter Sachs	HUMAN RESOURCES DIRECTOR Dennise Parker	SUBSTANCE ABUSE AND MENTAL HEALTH DIRECTOR Ute Gazioch	ECONOMIC SELF-SUFFICIENCY DIRECTOR Lista Sykes
CHILD WELFARE OPERATIONS DIRECTOR Patrcia Badland	REGIONAL MANAGING DIRECTOR NER Patricia Medlock	CHIEF FINANCIAL OFFICER Kimberly McMurray	DIRECTOR, SEXUALLY VIOLENT PREDATOR PROGRAM Kristin Kanner	PUBLIC BENEFITS INTEGRITY DIRECTOR Andrew McClenahan
CHILD WELFARE STRATEGIC PROJECTS & PLANNING DIRECTOR Elisa Cramer	REGIONAL MANAGING DIRECTOR CNR Bill D'Aiuto	CHIEF INFORMATION OFFICER Joe Vastola	HOMELESSNESS DIRECTOR Erik Braun	REFUGEE SERVICES DIRECTOR Patti Grogan
CHILD WELFARE PERFORMANCE & QUALITY MANAGEMENT DIRECTOR Ginger Griffith	REGIONAL MANAGING DIRECTOR SCR Jennifer Kuhn - Interim	GENERAL SERVICES DIRECTOR Matt Howard	DIRECTOR OF POLICY AND PROGRAMS Wendy Scott	DATA AND TECHNOLOGY DIRECTOR William Martinez
CHILD WELFARE CHILD CARE REGULATIONS DIRECTOR Samantha Wass De Czege	REGIONAL MANAGING DIRECTOR SER Vern Melvin	CONTRACT SERVICES DIRECTOR Sean Buchanan	CHIEF HOSPITAL ADMINISTRATOR Robert Quam	
ADULT PROTECTIVE SERVICES DIRECTOR Robert Anderson	REGIONAL MANAGING DIRECTOR SNR Bronwyn Stanford			

FLORIDA STATE HOSPITAL ADMINISTRATOR Vacant	NE FL STATE HOSPITAL ADMINISTRATOR Marvin Bailey	N FL EVALUATION TREATMENT CENTER ADMINISTRATOR Bob Gibson

CHILDREN AND FAMILIES, DEPARTMENT OF	FISCAL YEAR 2016-17		
SECTION I: BUDGET	OPERATING		FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		3,087,356,047	2,995,000
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		75,059,080	-745,000
FINAL BUDGET FOR AGENCY		3,162,415,127	2,250,000

SECTION II: ACTIVITIES * MEASURES	Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)				2,250,000
Protective Services * Number of people receiving protective supervision, and protective intervention services and number of investigations completed	62,279	791.00	49,262,591	
Healthy Families * Number of families served in Healthy Families	10,005	2,836.61	28,380,263	
Protective Investigations * Number of investigations	202,561	1,169.10	236,813,112	
In-home Supports * Number of children under protective supervision (point in time)	6,420	53,218.54	341,663,031	
Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months.	344	901,925.72	310,262,448	
Child Welfare Legal Services * Number of termination of parental rights petitions filed	4,100	14,376.40	58,943,229	
Emergency Shelter Supports * Number of adults with a safety plan upon leaving domestic violence shelter after 72 hours	7,737	4,962.26	38,392,998	
Report Intake, Assessment And Referral * Number of calls to the Florida Abuse Hotline	439,405	52.11	22,895,474	
Adoption Subsidies * Number of children receiving adoption subsidies	37,744	5,039.83	190,223,198	
Adoption Services * Children receiving adoptive services	7,402	6,307.80	46,690,333	
License Child Care Arrangements * Number of facilities and homes licensed	6,072	3,294.57	20,004,657	
Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA, ADA Medicaid Waiver Programs, and Consumer Directed Care Medicaid Waiver	453	4,257.48	1,928,638	
Home Care For Disabled Adults * Number of qualified disabled adults (ages 18 - 59) in the HCDA Program	1,253	1,486.21	1,862,221	
Emergency Stabilization * Number of children served	2,464	2,252.84	5,550,991	
Emergency Stabilization * Number of adults served	32,062	3,033.44	97,258,022	
Provide Forensic Treatment * Number of adults in forensic commitment served	3,047	54,357.79	165,628,182	
Provide Civil Treatment * Number of people in civil commitment served	1,839	110,687.63	203,554,555	
Community Support Services * Number of children served	26,957	2,422.40	65,300,750	
Community Support Services * Number of adults with forensic involvement served.	8,479	42,756.22	362,529,990	
Assessment * Number of sexual predators assessed	5,167	6,501.35	33,592,450	
Detoxification * Number of children served	2,670	130.87	349,430	
Treatment And Aftercare * Number of children with substance-abuse problems served	26,957	1,342.30	36,184,386	
Detoxification * Number of adults provided detoxification and crisis supports	22,427	3,095.78	69,429,025	
Prevention * Number of at-risk adults provided prevention services	268,142	131.76	35,330,553	
Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery	29,371,854	0.59	17,272,950	
Refugee Assistance * Number of refugee clients served	89,380	1,110.12	99,222,329	
Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments	267	36,633.61	9,781,174	
Homeless Assistance * Number of grants issued for homeless clients	43,181	336.31	14,522,195	
Eligibility Determination/Case Management * Number of cash assistance payments	901,462	350.70	316,139,189	
Issue Welfare Transition Program Payments * Total number of cash assistance applications	301,084	490.82	147,779,537	
TOTAL			3,026,747,901	2,250,000

SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS		3,490,498	
OTHER			
REVERSIONS		132,176,741	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)		3,162,415,140	2,250,000

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

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.

(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.

(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.

(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

Schedule XII Cover Sheet and Agency Project Approval	
Agency:	**Schedule XII Submission Date:**
Project Name:	**Is this project included in the Agency's LRPP?** _____ Yes _____ No
FY 2018 - 2019 LBR Issue Code:	**FY 2018 -2019 LBR Issue Title:**
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head: **Printed Name:**	**Date:**
Agency Chief Information Officer: *(If applicable)* **Printed Name:**	**Date:**
Budget Officer: **Printed Name:**	**Date:**
Planning Officer: **Printed Name:**	**Date:**
Project Sponsor: **Printed Name:**	**Date:**

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SCHEDULE XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

I.	**Background Information**
1.	Describe the service or activity proposed to be outsourced or privatized.
2.	How does the service or activity support the agency's core mission? What are the agency's desired goals and objectives to be achieved through the proposed outsourcing or privatization and the rationale for such goals and objectives?
3.	Provide the legal citation authorizing the agency's performance of the service or activity.
4.	Identify the service's or activity's major stakeholders, including customers, clients, and affected organizations or agencies.
5.	Describe and analyze how the agency currently performs the service or activity and list the resources, including information technology services and personnel resources, and processes used.
6.	Provide the existing or needed legal authorization, if any, for outsourcing or privatizing the service or activity.

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SCHEDULE XIII
PROPOSED CONSOLIDATED FINANCING OF DEFERRED-PAYMENT
COMMODITY CONTRACTS

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

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

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

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

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

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

1. Vendor Name		

2. Brief description of services provided by the vendor.		

3. Contract terms and years remaining.		

4. Amount of revenue generated		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)

5. Amount of revenue remitted		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)

6. Value of capital improvement		

7. Remaining amount of capital improvement		

8. Amount of state appropriations		
Prior Fiscal Year	Current Fiscal Year	Next Fiscal Year (Request Year)

NOT APPLICABLE

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BUDGET ENTITY LEVEL EXHIBITS & SCHEDULES

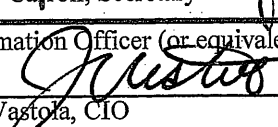# SCHEDULE IV-B FOR FSFN PATH FORWARD INITIATIVES

For Fiscal Year 2018-19

September 7, 2017

FLORIDA DEPARTMENT OF CHILDREN AND FAMILIES

Table of Contents

Table of Exhibits

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Florida Department of Children and Families	Schedule IV-B Submission Date: August 31, 2017
Project Name: *FSFN Path Forward Initiatives*	Is this project included in the Agency's LRPP? _____ Yes _X_ No
FY 2018-19 LBR Issue Code: 36354C0	FY 2018-19 LBR Issue Title: Aligning the Florida Safe Families Network with Florida's Path Forward – Comprehensive Child Welfare Information System
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): JoShonda Guerrier, 850-717-4382, JoShonda.Guerrier@myflfamilies.com	

AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: Printed Name: Mike Carroll, Secretary	Date: 9/18/17
Agency Chief Information Officer (or equivalent): Printed Name: Joe Vastola, CIO	Date: 9/13/17
Budget Officer: Printed Name: Kimberly McMurray	Date: 9/14/17
Planning Officer: Printed Name: Kiran Garimella	Date: 9/13/17
Project Sponsor: Printed Name: JoShonda Guerrier, Asst. Secretary, Office of Child Welfare	Date: 9/14/2017

Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need: Cost Benefit Analysis: Risk Analysis: Technology Planning: Project Planning:	Department of Children and Families – Office of Child Welfare

A. Executive Summary

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

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

The Department's current business needs can be combined into one common factor: DCF alignment with recent changes to federal regulations. The below two distinct federal regulations have recently been updated and directly impact the Florida child welfare community, in the short-term and the long-term. These two primary changes include:

Federal Elimination of the Title IV-E waiver: The Title IV-E waiver[1] was created by the U.S. Department of Health and Human Services in 1994, and was re-authorized via the Child and Family Services Improvement and Innovation Act in 2011. This waiver allows recipient states flexible use of federal funding for services that promote safety, permanency, and well-being for children in the child protection and foster care systems. The 2011 law specifies that waiver demonstrations must terminate operations by September 30, 2019. Florida's waiver is scheduled to expire in September 2018, with a planned filing for an extension through September 2019.

With the expected expiration of the Title IV-E waiver, Florida will have to return to traditional IV-E Foster Care claiming. Unfortunately, the current population being served and services being provided will result in an inability to earn traditional Title IV-E funds equivalent to the funds received through the waiver capped allocation each year. This could result in a potential funding deficit for child welfare. Florida must explore other ways to expand Title IV-E earnings to mitigate as much of the loss of federal funds as possible. This Schedule IV-B includes FSFN changes for several initiatives to increase the Title IV-E funding through the new Guardianship Assistance Program (GAP), Extended Foster Care (EFC) and Eligibility changes.

Federal replacement of SACWIS requirements with CCWIS requirements for child welfare information systems: In June 2016, ACF published a final rule replacing the current SACWIS child welfare information system requirements, which were originally published in 1993, with Comprehensive Child Welfare Information Systems (CCWIS) requirements. ACF's intent when designing the CCWIS requirements was to focus on system modularity, data quality, and data sharing. ACF is also promoting interoperability across Florida's child welfare community. By the end of the SACWIS to CCWIS transition window, in July 2018, states must elect whether they choose to be a CCWIS-compliant state. Although there is an election deadline, there is no deadline for when all CCWIS requirements must be met, allowing states flexibility on determining the best options for their community of care.

Agencies have from August 1, 2016 to July 31, 2018 to submit either an Advanced Planning Document (APD) or a Notice of Intent to Administration for Children and Families (ACF) indicating if the agency will do one of the following: **Function as non-CCWIS**; **Transition SACWIS to CCWIS**; or **Build a new CCWIS**. SACWIS funding, as currently defined, will continue through the end of the transition period, July 31, 2018. ACF has continued to encourage states to evaluate their business needs from a new lens, and consider all alternatives prior to submitting the required APD or Notice of Intent.

In addition to the elimination of the Title IV-E waiver and the replacement of SACWIS requirements with CCWIS requirements, ACF has recently made another federal rule update to the Adoption and Foster Care Analysis and Reporting Systems (AFCARS). The Final Rule issued by ACF includes updating statutory requirements for the first

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[1] https://www.ssa.gov/OP_Home/ssact/title04/0400.htm

time since it was originally issued in 1993, implementing statutory penalties for non-compliant data submissions, and enhancing the type of information reported to better measure outcomes of children and families, including information related to the Indian Child Welfare Act (ICWA) of 1978. AFCARS is a federal report that is required by the new CCWIS requirements.

The primary business needs for this project are to implement the Department's "Path Forward" initiatives, make an informed CCWIS election, and complete a comprehensive CCWIS planning initiative. Based on recent federal regulation changes, the Department is requesting funding to address immediate business needs while planning long-term solutions for the Florida child welfare community and the children and families they serve daily. Responsibly assessing how best to align the FSFN system with the new CCWIS requirements and opportunities will require engagement and support from all Florida child welfare community participants and stakeholders during the CCWIS planning initiative.

To address the business needs of the Department and the recent federal regulation changes, the Department assessed three alternatives for consideration:

- **Alternative 1:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a non-CCWIS election and continue maintaining and enhancing FSFN going forward under non-CCWIS funding rules.
- **Alternative 2:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline. Plan and assess current business processes to align the Florida child welfare community and systems to the new federal CCWIS requirements.
- **Alternative 3:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline, and immediately begin building a new CCWIS-compliant system.

Based upon the analysis of three alternatives and the needs of the Department, the recommended business solution for the *FSFN Path Forward Initiatives* as outlined under Alternative 2 is in the best interest of DCF, the Florida child welfare community, and the State. Alternative 2 includes recommended funding for immediate business and functional needs in FSFN, alignment with federal regulation changes, and electing to become a CCWIS-compliant state.

The total cost over the 2-year project timeline is $14,695,030 with a portion receiving federal matching funds. The payback period is less than 5 years with an estimated return on investment of 32.22%. This funding request is to implement the "Path Forward" initiatives in FSFN and complete planning and assessment activities in response to the new federal CCWIS requirements. Project management, independent verification and validation, training and organizational change management are also included. Benefits for the project include: opportunity for favorable federal funding; potential for increased IV-E eligibility determinations; increase Title IV-E achievable funding; alignment of Title IV-E funding and programs; and supporting system alignment with Department and child welfare community program goals and objectives. The increased Title IV-E achievable funding benefit is necessary to the current federal funding change with the Title IV-E waiver expiring. The tangible benefits will require additional analysis and calculations as the Title IV-E programs for "Path Forward" are implemented technically and programmatically.

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

The primary business needs for this project are to implement the Department's "Path Forward" initiatives, make an informed CCWIS election, and complete a comprehensive CCWIS planning initiative. Based on recent federal regulation changes, the Department is requesting funding to address immediate business needs while planning long-term solutions for the Florida child welfare community and the children and families they serve daily. Responsibly assessing how best to align the FSFN system with the new CCWIS requirements and opportunities will require engagement and support from all Florida child welfare community participants.

The Department's business needs can be combined into one common factor: DCF compliance and alignment with recent changes to federal regulations. The below two distinct federal regulations have recently been updated and directly impact the Florida child welfare community, in the short-term and the long-term. These two primary changes include:

Federal Elimination of the Title IV-E waiver: The Title IV-E waiver[2] was created by the U.S. Department of Health and Human Services in 1994, and was re-authorized via the Child and Family Services Improvement and Innovation Act in 2011. This waiver allows recipient states flexible use of federal funding for services that promote safety, permanency, and well-being for children in the child protection and foster care systems. The 2011 law specifies that waiver demonstrations must terminate operations by September 30, 2019. Florida's waiver is scheduled to expire in September 2018, with a planned filing for an extension through September 2019.

With the expected expiration of the Title IV-E waiver, Florida will have to return to traditional IV-E Foster Care claiming. Unfortunately, the current population being served and services being provided will result in an inability to earn traditional Title IV-E funds equivalent to the funds received through the waiver capped allocation each year. This could result in a potential funding deficit for child welfare. Florida must explore other ways to expand Title IV-E earnings to mitigate as much of the loss of federal funds as possible. This Schedule IV-B includes FSFN changes for several initiatives to increase the Title IV-E funding through the new Guardianship Assistance Program (GAP), Extended Foster Care (EFC) and Eligibility changes.

Federal replacement of SACWIS requirements with CCWIS requirements for child welfare information systems: In June 2016, ACF published a final rule replacing the current SACWIS child welfare information system requirements, which were originally published in 1993, with Comprehensive Child Welfare Information Systems (CCWIS) requirements. ACF's intent when designing the CCWIS requirements was to focus on system modularity, data quality, and data sharing. ACF is also promoting interoperability across Florida's child welfare community. By the end of the SACWIS to CCWIS transition window, in July 2018, states must elect whether they choose to be a CCWIS-compliant state. Although there is an election deadline, there is no deadline for when all CCWIS requirements must be met, allowing states flexibility on determining the best options for their community of care.

In addition to the elimination of the Title IV-E waiver and the replacement of SACWIS requirements with CCWIS requirements, ACF has recently made another federal rule update to Adoption and Foster Care Analysis and Reporting Systems (AFCARS). The Final Rule issued by ACF, effective in January 2017, includes updating statutory requirements for the first time since it was originally issued in 1993, implementing statutory penalties for non-compliant data submissions, and enhancing the type of information reported to better measure outcomes of children and families, including information related to the Indian Child Welfare Act (ICWA) of 1978.

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[2] https://www.ssa.gov/OP_Home/ssact/title04/0400.htm

In alignment with the Department's mission and vision statements of protecting and promoting child welfare, there is an immediate business need to update the child welfare programs and technology – as outlined in the "Path Forward" initiatives below – which will expand the Title IV-E footprint in providing more eligible services to children and families. These updates will also allow for DCF to capitalize on more Title IV-E federal funding once the waiver expires.

Additionally, there is an immediate business need for DCF to make an informed CCWIS election to ACF. In a longer-term lens, given there is no implementation deadline for CCWIS systems, the new CCWIS requirements provide DCF an opportunity to evaluate FSFN and the corresponding business processes to determine how to best align with the new CCWIS requirements, capitalize on the best federal funding match possible, and truly enable "the next generation of FSFN" which will create a more advanced, flexible system for Florida's unique child welfare community. To responsibly serve the child welfare community, a CCWIS planning initiative is needed to understand how to best align the Office of Child Welfare's (OCW) current people, processes, and technology with the vision and requirements defined in the final rule for CCWIS.

"Path Forward" and Title IV-E Waiver

The Title IV-E waiver was created by the U.S. Department of Health and Human Services in 1994, and was re-authorized via the Child and Family Services Improvement and Innovation Act in 2011. Florida is currently operating under this Title IV-E waiver. This waiver allows recipient states flexible use of federal funding for alternative services and supports promoting safety, permanency, and well-being for children in the child protection and foster care systems. The 2011 law specifies waiver demonstrations must terminate operations by September 30, 2019. DCF will apply for an extension for a Title IV-E waiver before it expires in September 2018. This extension will terminate along with the Title IV-E waiver program in September 2019. Since DCF's initial receipt of Title IV-E funds, Florida has been complying with the following HHS goals for Title IV-E applicants:

1. Increase permanency for all infants, children, and youth by reducing time in foster placements when possible and promoting a successful transition to adulthood for older youth.
2. Increase positive outcomes for infants, children, youth, and families in their homes and communities, and improve the safety and well-being of infants, children, and youth.
3. Prevent child abuse and neglect and the re-entry of infants, children, and youth into foster care.

When analyzing the changes needed to accommodate the termination of the Title IV-E waiver, DCF determined three initiatives which are needed to support continued and increased Title IV-E funding after the expiration of the Title IV-E waiver in 2019. Combined, these three initiatives have been labeled the "Path Forward," as detailed below. These initiatives require changes to the current functionality within FSFN for guardianship, eligibility determinations, and extended foster care. If these changes are not implemented, DCF will face a deficit in funding Title IV-E eligible services to children and families in Florida. By implementing the "Path Forward" initiatives, DCF will be expanding and realigning the Title IV-E footprint to continue drawing down federal funding for these child welfare services, and increase the federal funding for the expanded Title IV-E services. This will allow DCF to serve more Title IV-E eligible customers, and likewise maximize on the respective federal funding after the expiration of the Title IV-E waiver in 2019.

Enhancing FSFN to support Title IV-E Guardianship Assistance Program

To-date, Florida has not fully leveraged the federal financial assistance available by taking advantage of the option to establish the Guardianship Assistance Program (GAP) for caregivers who assume permanent guardianship of children in foster care. By creating GAP, families currently receiving funding under the flexible Title IV-E allocations will be able to continue receiving funding after the expiration of the Title IV-E waiver. Without the creation of this program, these children and families are at risk of no longer receiving funding.

Enhancing FSFN for Title IV-E Eligibility Determinations

FSFN is used to determine eligibility for Temporary Assistance for Needy Families (TANF), Title IV-E, Medicaid, and Maintenance Adoption Subsidy (MAS). There are many different factors contributing to these eligibility determinations, such as the composition of the family, a child's previous eligibility status, or when a family's assets and income cannot be verified. Due to the complexity of the multiple types of eligibility determinations, the system needs updates to fully assess eligibility status and maximize the Title IV-E federal funding for eligible services.

DCF plans to update FSFN functionality for tracking and funding Title IV-B[3] and Title IV-E eligible services after the expiration of the Title IV-E waiver. DCF seeks to maximize funding and services available through improved child welfare system tracking of: services delivered; provider(s); recipient(s); and respective caregiver(s).

Florida's current eligibility determination process in FSFN needs to be aligned with business practice needs once the waiver expires. Florida has seen a deterioration in eligibility rates over the past several years that is at least partially due to the current FSFN process. Part of DCF's strategy to mitigate financial losses from the expiration of the waiver involve increasing eligibility rates back to historic levels. This requires changes and improvements to FSFN. Florida has historically seen rates of close to 75% for Foster Care and close to 80% for Adoption. For each 1% increase from the current rates, Florida recovers more than $1M in federal earnings for case management independent of any other initiative.

Enhancing FSFN to support Title IV-E Independent Living & Extended Foster Care

The Department offers an array of Independent Living (IL) services to eligible young adults ranging in ages 18-22 (not yet 23), including supports in making the transition to self-sufficiency. Extended Foster Care is one of Florida's programs designed to assist young adults in the following outcomes: increasing financial self-sufficiency, improving educational attainment, increasing connections to caring adults, reducing homelessness, reducing high-risk behavior, and improving access to health insurance. The services help to prepare young adults with the skills and abilities to assume personal responsibility for becoming self-sufficient adults living independently.

DCF needs to enhance the Independent Living services captured in FSFN to accurately reflect child welfare services to youth populations. This includes Maintenance Adoption Subsidy (MAS) coverage to youth adopted at age 16 or 17 years to extend their coverage up to 21 years old. MAS is adoption assistance for financial and service support, and to assist special needs children and their families.

DCF also has an immediate business need to establish IL functionality within FSFN to capture federal and state business and data needs. This additional data capture will allow DCF to meet federal reporting requirements, such as Chafee Foster Care Independence Program ("Chafee"), National Youth in Transition Database (NYTD), and Adoption and Foster Care Analysis and Reporting Systems (AFCARS).

Comprehensive Child Welfare Information System

On August 11, 2015, the Administration for Children and Families (ACF) published a Notice of Proposed Rule Making (NPRM) for a Comprehensive Child Welfare Information System (CCWIS). The NRPM proposed regulations for replacement of the former Statewide Automated Child Welfare Information System (SACWIS) regulations. These regulatory changes accommodate changes in child welfare practice and advancements in technology architecture and solutions. The new ACF regulations focus on modularity, data quality, and data sharing. ACF is promoting interoperability across Florida's child welfare community, as well as leveraging investments in existing assets. ACF further intends to realize a reduction in costs for development and maintenance. The final rule was published on June 2, 2016[4].

The move from SACWIS to CCWIS has evolved from being solely focused on federal reporting to encouraging development of solutions which meet the needs of individual states' child welfare practice and program. By considering the universe of stakeholders and allowing their representative technologies to exchange information, agencies will realize a variety of business benefits which are expected to ultimately improve outcomes for children and families across the country.

Agencies have from August 1, 2016 to July 31, 2018 to submit either an Advanced Planning Document (APD) or a Notice of Intent to ACF indicating if the agency will do one of the following: **Function as a non-CCWIS; Transition SACWIS to CCWIS;** or **Build a new CCWIS**. Regarding federal funding for CCWIS systems, the CCWIS cost allocation applies to eligible costs benefiting federal, state, or tribal funded participants in programs and allowable activities described in Title IV-E of the Social Security Act. These costs can be applied to projects transitioning to CCWIS, new CCWIS projects, or approved project activities. SACWIS funding, as currently defined, will continue through the end of the transition period. ACF has continued to encourage states to evaluate their business needs from a new lens, and consider all alternatives prior to submitting the required APD or Notice of

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[3] https://www.ssa.gov/OP_Home/ssact/title04/0400.htm

[4] Comprehensive Child Welfare Information System, Fed. Reg. Vol. 81, No. 106, pp 35450 (June 2, 2016)

Intent.

Since technology and operating models have evolved, the objective of CCWIS regulations is to allow for more modularity in each state's respective system, increased data quality and data sharing within the child welfare community, and flexibility to create a system which works best for each state and the stakeholders.

Full CCWIS Requirements are outlined in Federal Regulation 45 CFR 1355.52. Key requirements include:

- Elimination of duplicative application system development, software maintenance, and data entry
- Establish bi-directional data exchanges and data exchange standards with other child welfare community partners
- Develop and implement a Data Quality Plan to improve the quality of child welfare data
- Remain compliant with state and federal reporting requirements
- Costs should be reasonable, appropriate and beneficial
- Automate and consolidate eligibility processing, authorization of services and expenditures under IV-B and IV-E
- Maintain case management data to support federal audits, reviews and other monitoring activity

States electing to build a new system to meet the CCWIS Requirements are also subject to CCWIS design requirements (Federal Regulation 45 CFR 1355.53(a)). These requirements include:

- Follow a modular design that includes the separation of business rules from core programming
- Be documented using plain language
- Adhere to a state, tribal, or industry defined standard that promotes efficient, economical, and effective development of automated functions and produces reliable systems
- Be capable of being shared, leveraged, and reused as a separate component within and among states and tribes

ACF's intent when designing the CCWIS Requirements was to focus on system modularity, data quality, and data sharing. ACF is also promoting interoperability across Florida's child welfare community. These ideals are different and more customizable than the previous SACWIS requirements.

A CCWIS planning initiative is needed to fully assess the Department's scope of opportunity for aligning FSFN and the respective child welfare business processes to the new CCWIS Requirements. This assessment will engage in business process re-engineering and evaluation, return on investment (ROI) analysis, requirements gathering, organizational change management (OCM) activities, federal document preparation, and stakeholder engagement. Identifying and planning for future contract financial impacts for funding future system changes, along with the financial impacts of interfacing between external systems will be required. Involving all stakeholders in the assessment, especially Florida's extensive child welfare community, DCF will be positioning itself for success and betterment for the children and families being served. The results will help develop the best way to align DCF's child welfare information system with the new CCWIS Requirements.

2. Business Objectives

The Department of Children and Families

The Florida Department of Children and Families supervises the administration of programs that are federally funded, state directed, and locally operated. DCF is responsible for the administration, supervision, and coordination of programs in Florida funded under federal Titles IV-B, IV-E, and XX of the Social Security Act.

Department's Mission

The mission of the Florida Department of Children and Families is to work in partnership with local communities to protect the vulnerable, promote strong and economically self-sufficient families, and advance personal and family recovery and resiliency.
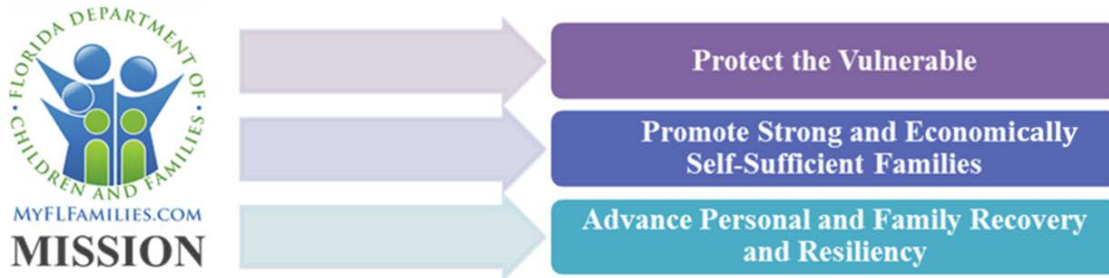
Exhibit II–1: DCF Mission

The Florida Department of Children and Families is committed to the well-being of children and their families. These responsibilities encompass a wide-range of services, including – among other things – assistance to families working to stay safely together or be reunited, foster care, youth, and young adults transitioning from foster care to independence, adoption.

Achieving these goals and objectives depends on the coordination and integration of activities across the various partners involved in Florida's child welfare system. Florida's child welfare system consists of key stakeholders and partners including the Department, Community-Based Care (CBC) lead agencies, contracted community providers, other state agencies, tribes, and the legal and judicial systems. These stakeholders, which comprise the state's child welfare community, each play an important role in and have a shared accountability for the safety, permanency, and well-being of Florida's children.

Department Core Competencies

The following section describes business objectives which are consistent with the Department's existing policies per s. 216.023(4) (a) 10, F.S. The overarching business objective of this Schedule IV-B, *FSFN Path Forward Initiatives*, is to strive towards the Department's stated Vision and all Core Competencies – Systems Integration, Vendor Relationship Management, Data Analytics, and a World Class Workforce. The elements discussed in the Department's Core Competencies below guide the actions of DCF's everyday work activities.

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

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

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

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

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

Exhibit II–2: Department Core Competencies

- **Systems Integration:** As a federal requirement to be deemed a CCWIS-compliant system, an enhanced FSFN system must include bidirectional data-sharing. This data-sharing across internal Department offices, Agency for Healthcare Administration (AHCA), Courts, Education systems, and other stakeholders will lead to better data analysis and lead to future opportunities to consolidate systems. Likewise, increased integration between FSFN's eligibility determinations and the FLORIDA system will lead to improved data.
- **"Vendor" Relationship Management:** By strategically working towards a CCWIS-approved system that promotes interoperability and flexibility across the child welfare community, FSFN will naturally support a productive and more collaborative Department/CBC relationship.
- **Data Analytics:** In coordination with the Department's Results-Oriented Accountability program (409.997, F.S.), updates to FSFN continue to enable the modern infrastructure needed to truly hold the child welfare community accountable for positive outcomes for children in the child welfare system. It is through data analysis that the Department can better plan, react to, and correct situations arising throughout the Florida child welfare community.
- **World Class Workforce:** By better positioning child welfare professionals to assist those in Extended Foster Care and creating GAP, Florida is supporting its core mission. Also, by embracing the modularity which comes with a CCWIS-compliant system, the Department is better able to evolve FSFN to reduce caseloads of case managers and child investigators by decreasing administrative work and increased face-to-face time with children and families.

The Florida Department of Children and Families provides social services to children, adults, refugees, domestic violence victims, human trafficking victims, the homeless community, child care providers, and disabled people. The Department does this in conjunction with the Federal Government, whose principle unit on this issue is the

Administration for Children and Families within the U.S. Department of Health and Human Services (HHS/ACF). This further strengthens the Child Protection Program's[5] vision of: Every child in Florida thrives in a safe, stable, and permanent home, sustained by nurturing relationships and strong community connections.

The Office of Child Welfare

DCF's Office of Child Welfare (OCW) plays a vital role in the development of policies and programs that implement and support the Department's mission. Florida's child welfare system is responsible for the child welfare program administration, oversight and monitoring. OCW's vision is every child in Florida thrives in a safe, stable, and permanent home, sustained by nurturing relationships and strong community connections.

The OCW and other child welfare stakeholders play a vital role in the development of policies, laws, regulations, and programs that implement and support the Department's mission. Policy development, program implementation, and monitoring of the child welfare system are the responsibility of the child welfare stakeholders.

The child welfare stakeholders' measures of progress, objectives, interventions, and milestones include a comprehensive approach to these three primary goals:

- **Goal 1:** Children involved in child welfare will have increased <u>safety</u> and expanded protection
- **Goal 2:** Children involved in child welfare will live with <u>permanent</u> and stable families, avoiding disruption and return to out of home placement
- **Goal 3:** Children involved in child welfare will have improved <u>well-being</u> (education, physical health, and behavioral health) and live with nurturing families

Achieving the goals will depend heavily on the coordination and integration of activities across the various partners involved in Florida's child welfare system.
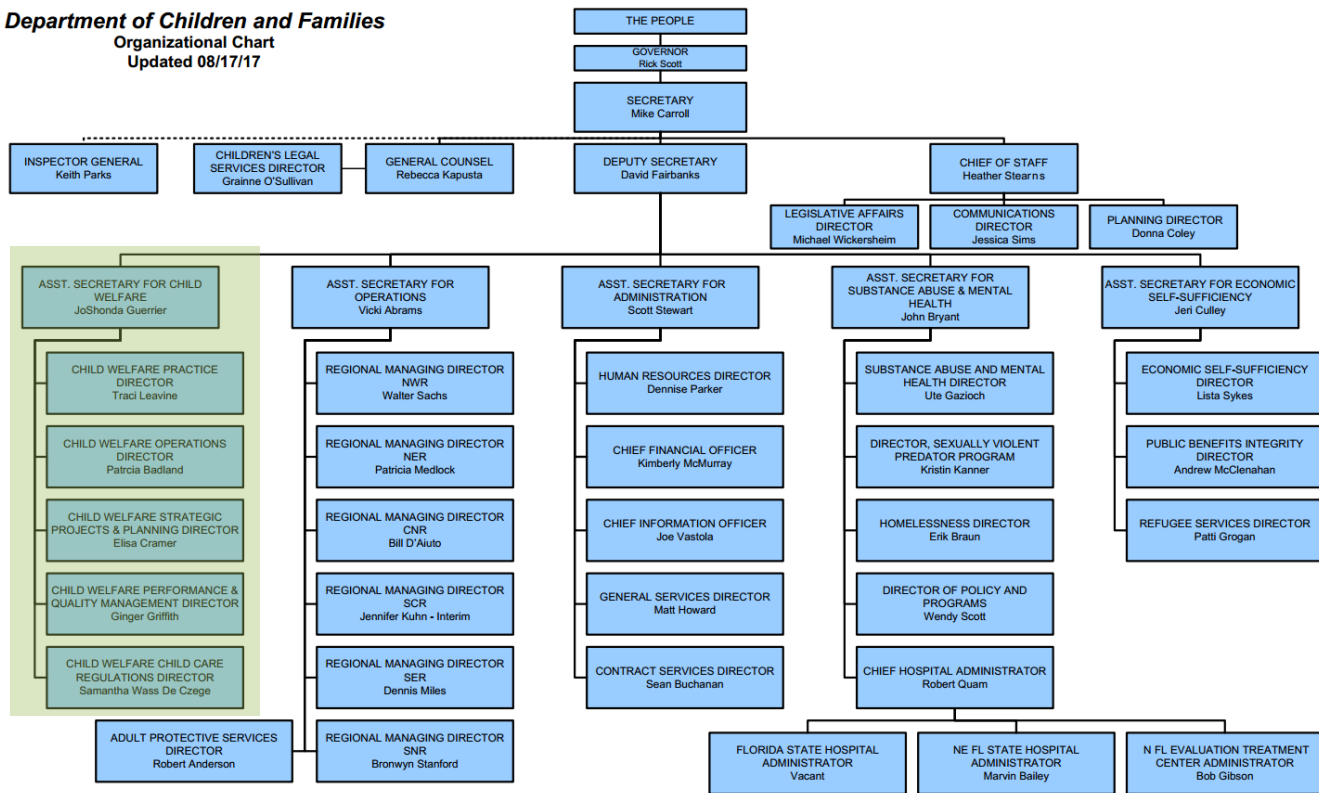

Exhibit II–3: DCF Organizational Chart

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[5] http://centerforchildwelfare.org/kb/FlPerformance/CFSP_2015-2019.pdf

The funds being requested in this Schedule IV-B will directly support OCW's immediate efforts and DCF's long-term vision of protecting and promoting child welfare throughout Florida, and supporting the Florida child welfare community partners. The above organizational chart depicts where these efforts are located within the Department.

The Florida Safe Families Network (FSFN)

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

The FSFN system is the single information repository for all child welfare case management work containing 30 years of data for over 8,000,000 people. As of June 21, 2017, there are approximately 15,000 distinct system users located throughout the State of Florida.

At the direct service level, FSFN provides child welfare workers in Florida with an integrated case management system, designed to support local service delivery improvements and report outcomes for children and families. The system enables hotline counselors, investigators, case managers, and other child welfare professionals to work collaboratively so that children in their care have safety and stability. This single statewide automated case record is available for each child as he or she moves from one place or provider to another. Full lifecycle case assignment and management functions support best practices for service delivery, case plan-based actions, and oversight.

Florida has improved its services to children via its SACWIS implementation over recent years, and the benefits to those children are strengthened through the state's commitment to an integrated child welfare system. Because of its unique public-private partnership for child welfare, in partnership with key stakeholders (including representatives from CBCs, local sheriff's offices, the judiciary system, and children legal services), Florida continues to explore innovative and flexible enhancements for its business processes and the system that supports the Florida child welfare community.

The Florida Safe Families Network (FSFN) facilitates child welfare best practices and service provisions under federal and state requirements. This automated system reduces communication gaps that can jeopardize child safety, permanency, and well-being.

B. Baseline Analysis

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

1. Current Business Process(es)

Child Welfare Service Delivery

Services for children and families are coordinated through an administrative structure of six geographic regions, aligned with Florida's 20 judicial circuits, serving all 67 counties. The Department remains responsible for program oversight, operating the Abuse Hotline, conducting child protective investigations, and providing legal representation in court proceedings. Child protective investigation duties are performed either by Department staff or, under appropriations grant pursuant to s. 39.3065 F.S., by county sheriffs' offices in six counties (Pasco, Pinellas, Hillsborough, Manatee, Seminole, and Broward). Children's Legal Services operates as an internal "firm" for child-focused advocacy in all areas; in some areas of the state, this includes coordination with attorneys under contract from the State Attorney's Office or the Office of the Attorney General. Within Florida's six regions, Community-Based Care lead agencies (CBCs) manage the delivery of foster care and related services including family preservation, prevention and diversion, dependency casework, out-of-home care, emergency shelter, independent living services and adoption under contract with the Department, as defined in Chapter 39 Florida Statute and 65C-29-35, Florida Administrative Code (FAC). Finally, coordination with other program areas (particularly Substance Abuse, Mental Health, and Domestic Violence) within the Department is critical. The child welfare system is

administered and coordinated through highly collaborative relationships with other state and local agencies, Tribal representatives, foster/kinship caregivers, foster youth, community-based lead agencies, the judiciary, researchers, child advocates, Guardians ad Litem, the Legislature, and private foundations to maximize child safety, permanency, well-being, and families' opportunities for success.

CBC Lead Agencies

The 1998 Florida Legislature mandated the outsourcing of child welfare services to Community-Based Care (CBC) lead agencies. The intent was to strengthen and focus the support and commitment of local communities toward the "reunification of families and care of children and their families." Under this system, lead agencies are responsible for providing foster care and related services, including family preservation and support, prevention and diversion, dependency case work, out-of-home care, emergency shelter, independent living services and adoption. Most CBCs contract with subcontractors for case management and direct care services to children and their families. This structure allows local agencies to engage community partners in designing their local system of care which supports resources to meet local needs.

With the outsourcing of child welfare, the Department allocates federal and state funds directly to the various community-based providers. The Department determines allocations of state and federal funds to geographical areas for delivery of local, community-based services. Allocations to CBCs fund initiatives for improvement, expansion, development, planning, evaluation, implementation, annual assessment of needs, and direct consumer services to meet the requirements of the various federal grant programs. Statewide providers work to enhance and support local community-based service delivery systems. The Department also contracts with other statewide agencies and programs for additional service and program development, evaluation, implementation, and direct consumer services. This effort compliments and supports the local community-based service delivery systems.

CBC lead agencies are responsible for providing foster care and related services, including family preservation, prevention and diversion, dependency casework, out-of-home care, emergency shelter, independent living services and adoption. Most CBCs contract with subcontractors for case management and direct care services to children and their families. This arrangement allows local agencies to engage community partners in designing their local system of care that maximizes resources to meet local needs. The CBC providers have created, designed, and implemented intervention strategies for the various components of the service array within their areas of responsibility. The freedom and flexibility to develop unique plans and share them with others is the hallmark of this system

DCF remains responsible for program oversight. Lead agencies' responsibilities are codified in law. The 2014 Legislature modified CBCs' duties and responsibilities (409.988, F.S.) which include, but are not limited to:

- Serve all children referred as a result of a report of abuse, neglect, or abandonment to the Department's central abuse hotline including children subject of verified reports and not verified reports but are at moderate to extremely high risk of abuse, neglect or abandonment regardless of funding allocated
- May also serve children who are at risk of abuse, neglect, or abandonment to prevent entry into child protection or child welfare system
- Provide accurate and timely information necessary for oversight by Department as established in the child welfare results-oriented accountability system
- Shall follow the financial guidelines developed by the department and provide for a regular independent auditing of its financial activities
- Shall ensure that all individuals providing care for dependent children receive appropriate training and meet the minimum employment standards established by the department

How do Child Welfare Professionals use FSFN?

The Florida Safe Families Network (FSFN) is the state's official case file and record for each investigation and case, and is the system of record for all homes and facilities licensed by the state or approved for adoption placement. Additionally, FSFN is the system of record for all expenditures related to service provision for children, youth, and/or families receiving in-home, out of home, adoption services, adoption subsidies, and post-foster care support. This financial information supports the determination of cost of care for each individual child, as well as allocating expenditure claims to the appropriate funding sources. All pertinent information about every investigative and case management function must be entered in FSFN. Staff may have duplicate paper copies of the case file, along with supporting paper documentation, but the FSFN electronic case file is the primary record for each investigation, case, and placement provider, including all related financial expenditures and activities.

The Florida Safe Families Network (FSFN) facilitates child welfare best practice and service provision under federal and state requirements. This automated system reduces communication gaps which can jeopardize child safety, permanency, and well-being. If staff statewide follow FSFN reporting and documentation requirements, the staff and key stakeholders will have access to information to make the informed decisions on behalf of children and their families. Immediate electronic access to complete case information supports rapid and effective response to the needs of families and children. FSFN consolidates critical data and supports reporting capacities.
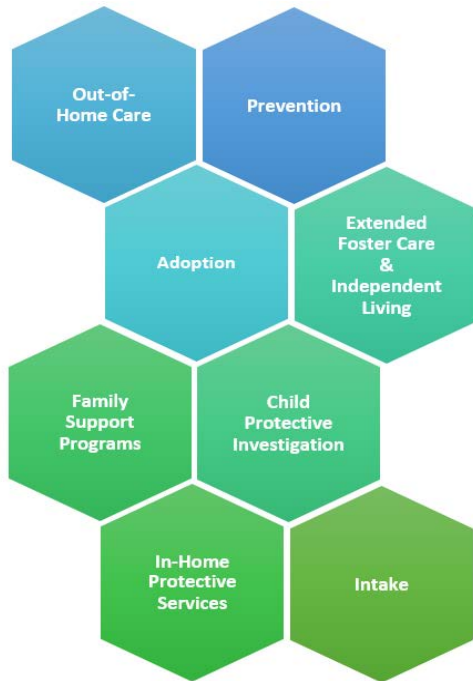
Florida Child Welfare Service Components

Florida law provides a fundamental statement of purpose for the child welfare system that is embedded throughout the delivery of services in the state:

• To provide for the care, safety, and protection of children in an environment that fosters healthy social, emotional, intellectual, and physical development to ensure secure and safe custody, to promote the health and well-being of all children under the state's care, and to prevent the occurrence of child abuse, neglect, and abandonment;

• To recognize that most families want to be competent caregivers and providers for their children and that children achieve their greatest potential when families can support and nurture the growth and development of their children (Section 39.001(1), F.S.).

To achieve the statutory intent, and to align with the federal principles, Florida's continuum of care in family support programs includes the following nine (9) general service components.

Exhibit II–4: Florida Child Welfare Service Components

1. **Adoption:** CBC lead agencies are responsible for identifying and reporting to the court the permanency options available to each child who has been removed from a parent or legal guardian. CBCs are responsible for pre- and post-adoption services, including the provision of maintenance adoption subsidies.
2. **Child Protective Investigations:** DCF is responsible for conducting child protective investigation in most counties, while contracting with sheriffs' offices in the remaining areas. All child protective investigators (CPI) are responsible for institutional investigations.
3. **Independent Living & Extended Foster Care:** These services are designed to promote the development of adult self-sufficiency through educational training and supports, preparation for postsecondary education, daily life skills training, employment training, substance abuse services, pregnancy prevention and preventive health activities, and programs that are designed to connect foster teens and young adults that have aged out of the foster care system with positive and permanent adult mentors. The 2014 Florida Legislature passed a law that allows for young adults in or formerly in foster care to voluntarily extend their time in foster care up to the age of 21.
4. **Family Support Programs:** Florida continues to increase efforts to support caregivers with natural supports in the community through program such as: parent support groups, family budgeting, respite care of children to provide temporary relief for parents and other caregivers, structured activities involving parents and children to strengthen the parent-child relationship, and information and referral services to afford families access to other community services, including child care, health care, nutrition.
5. **In-Home Protective Services:** When child protective investigation indicates that parents or guardians can't, don't or won't protect their children, the Department provides a full spectrum of services aligned with a safety plan. In-home safety plan services are emphasized to keep children safe in their own families whenever possible to do so.
6. **Intake:** There are several entry points to child welfare services in Florida. One entry point is the Florida

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Abuse Hotline. All child abuse and neglect allegations received through the centralized Florida Abuse Hotline located in Tallahassee, occurs twenty-four hours a day, seven days a week.

7. **Out-of-Home Care:** When a child is removed from their parents/caregivers due to a danger threat that cannot be managed by an in-home safety plan, the child is placed in Out-of-Home Care. This includes children who have been removed from their home and are living with a relative, non-relative or in foster care.

8. **Placement:** The processes and choices involved in placement are crucial to ensure the Department is providing the safest and most appropriate care for children who may be unable to live in their own homes until a permanency goal is attained. Consideration for placement is chosen from least to most restrictive. Initial placement decisions for the least restrictive placements, such as relative and non-relative placements, are made by the front-line staff and their supervisors. After initial emergency placement, placement services are coordinated by the CBC lead agencies. This provides an increased local community ownership of ensuring the right out-of-home care for children.

9. **Prevention:** Florida is currently concentrating on the prevention of child abuse and neglect by strategically integrating child welfare, domestic violence, substance abuse, mental health, homelessness, and other services provided by the Department with a prevention lens into both the development of policy and delivery of services.

2. Assumptions and Constraints

This Schedule IV-B considers and notes several assumptions and constraints for the "Path Forward" initiatives and CCWIS planning initiatives. These assumptions and constraints include:

Assumptions

1. The AFCARS rule changes are implemented enabling federal reporting compliance as stated in CCWIS requirements, 45 CFR Part 1355.
2. FSFN Cloud Migration is completed on schedule.
3. DCF will receive a successful extension of their Title IV-E waiver in 2018.
4. To receive the fifty percent (50%) federal match for the CCWIS planning initiative and "Path Forward" initiatives implementation, DCF will need to successfully file their election with ACF through the APD process no later than July 31, 2018. The CCWIS transition period is from August 1, 2016 and ends July 31, 2018.
5. Federal matching funds are only available once approval is provided through ACF.
6. Coordination with the current FSFN System Integrator will be needed for future FSFN enhancements related to "Path Forward" functionality.
7. DCF will employ Organizational Change Management (OCM) activities required to implement the recommended solutions and assessments in the most successful fashion.
8. The project team will be adequately staffed to accomplish the project's deliverables, milestones, and infrastructure, manage user involvement, ensure proper testing, produce necessary project planning documents, project status reporting and complete other project management tasks.
9. Only approved ACF Title IV-E operational costs are eligible for CCWIS matching funds. Since ACF approval of proposed changes have not been confirmed, the federal match for operational costs in the CBA was calculated at nineteen-percent (19% – the rate identified as the current Title IV-E reimbursement rate).
10. Interfaces between FSFN and external systems that require changes will be scheduled and coordinated during the planning and design phases of the project.

Constraints

1. Stakeholder involvement with and understanding of the project will be time-consuming.
2. FSFN's technical infrastructure could make future enhancements to align with CCWIS Requirements not cost effective and efficient for the Florida child welfare community.
3. Project funding is appropriated annually and may be subject to periodic releases throughout the year, depending upon suitable schedule and cost performance.
4. Approval by either the Florida Executive Office of the Governor (EOG) (in consultation with the Legislature) or the Legislative Budget Commission (LBC) may be required before any appropriated funds are made available to the Department.
5. All schedules depend on the continual availability of appropriated funds.

6. Information requests from external oversight agencies and partners can be time consuming to produce and can affect the project's timeline.
7. State and/or federal statutory changes, changes in administrative rules, and DCF policy changes could affect the project.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

The business process requirements for the "Path Forward" initiatives require functional and technical changes for the new Guardianship Assistance Program, maximizing revenue capacity for eligibility determination in FSFN, and extended foster care and independent living changes. Further planning is required for CCWIS to determine the best alignment of business processes, the Florida child welfare community, and the technology required to support the "next generation of FSFN." Expected results from the CCWIS planning initiative are completing the high-level requirements and a feasibility study for implementing a CCWIS-compliant system.

Enhancing FSFN to support Title IV-E Guardianship Assistance Program

- Create policy and business processes to support the establishment and operations of a Guardianship Assistance Program (GAP) for caregivers who assume permanent guardianship of children in foster care.
- Within FSFN capture federal and state business and data needs allowing DCF to meet federal reporting requirements, such as National Youth in Transition Database (NYTD) and Adoption and Foster Care Analysis and Reporting Systems (AFCARS).

Enhancing FSFN for Title IV-E Eligibility Determinations

- Update policy and business processes for the use of FSFN to determine eligibility for Temporary Assistance for Needy Families (TANF), Title IV-E, Medicaid, and Maintenance Adoption Subsidy (MAS).
- With regard to establishing GAP, eligibility determination functionality will need to be created within FSFN.
- DCF plans to update FSFN functionality for tracking and funding Title IV-B[6] and Title IV-E eligible services after the expiration of the Title IV-E waiver. DCF seeks to maximize funding and services available through improved child welfare system tracking of: services delivered; provider(s); recipient(s); and respective caregiver(s).

Enhancing FSFN to support Title IV-E Independent Living & Extended Foster Care

- Update policy and business processes for offering Extended Foster Care to eligible young adults ranging in ages 18-22 (not yet 23), and including support in making the transition to self-sufficiency.
- DCF needs to enhance the Independent Living services captured in FSFN to accurately reflect child welfare services to youth populations. This includes Maintenance Adoption Subsidy (MAS) coverage to youth adopted at age 16 or 17 years to extend their coverage up to 21 years old, providing financial and service support to assist special needs children and their families.
- DCF also has an immediate business need to establish IL functionality within FSFN to capture federal and state business and data needs. This additional data capture will allow DCF to meet federal reporting requirements, such as Chafee Foster Care Independence Program ("Chafee"), National Youth in Transition Database (NYTD), and Adoption and Foster Care Analysis and Reporting Systems (AFCARS).

Additional Training and Change Management Operations

- This project will require DCF develop new training material and "train-the trainer" lessons to individuals across DCF, as well as other stakeholders. These updates will affect Case Managers, Adoption Specialists, Licensing Specialists, and Investigators who will have to employ new operating procedures post "Path Forward" implementation. A training/OCM team will be brought on help DCF develop this material and

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[6] https://www.ssa.gov/OP_Home/ssact/title04/0400.htm

engage with all stakeholder. See Section IV for costing information relating to training.

2. Business Solution Alternatives

For this Schedule IV-B, the focus on determining business solution alternatives considered the immediate needs of the Department in relation to recent federal regulation changes. To address the business process needs of the Department with the recent federal regulation changes, three alternatives were considered:

- **Alternative 1:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a non-CCWIS election and continue maintaining and enhancing FSFN going forward under non-CCWIS funding rules.
- **Alternative 2:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline. Plan and assess current business processes to align the Florida child welfare community and systems to the new federal CCWIS requirements.
- **Alternative 3:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline, and immediately begin building a new CCWIS-compliant system.

	ADVANTAGES	DISADVANTAGES
ALTERNATIVE 1 **FUNCTION AS A NON-CCWIS**	• Less time for child welfare professionals to adapt to system changes because they are familiar with current system	• Continuing to build into current technology limits future capabilities • Not aligned with ACF vision for child welfare information systems • Less future system agility to accommodate new technology • Decreased federal funding match for non-CCWIS-compliant systems
ALTERNATIVE 2 **TRANSITION SACWIS TO CCWIS**	• Aligned with ACF vision for child welfare information systems • Increased federal funding match for CCWIS-compliant system • More future system agility to accommodate new technology • Able to update/customize only the modules of FSFN that need touching	• Continuing to build into current technology base limits future capabilities • Additional reporting and regulations imposed because of CCWIS-compliance
ALTERNATIVE 3 **BUILD NEW CCWIS**	• Aligned with ACF vision for child welfare information systems • Increased federal funding match for CCWIS-compliant system • More future system agility to accommodate new technology	• Costly (time and money) impact on child welfare community • Time-intensive stakeholder input and change management needed for successful system design and implementation • Potentially cost-prohibitive for continued funding by Florida Legislature • Additional reporting and regulations imposed because of CCWIS-compliance

Exhibit II–5: Alternatives Advantages and Disadvantages

3. Rationale for Selection

This section describes the analysis of alternative approaches considered for the *FSFN Path Forward Initiatives*. The three alternatives previously discussed were evaluated based on a defined and rigorous set of criteria. The scoring process and justification for each criterion can be found below.

To conduct the alternatives analysis the following steps were performed:

1. Identified and defined a list of potential alternative system completion methods
2. Developed high-level requirements the system upgrade should address

3. Established a set of uniform evaluation criteria against which each alternative was measured
4. Evaluated each of the alternatives through the application of the evaluation criteria
5. Determined the best alternative for the Department based upon results

Establishing a minimum set of capabilities is critical to ensure all alternatives are compared to a common standard. Five evaluation criteria based on key goals for success in achieving business objectives were used to evaluate the options. Exhibit II-6 outlines the evaluation criteria used to determine the "best business solution alternative" for the *FSFN Path Forward Initiatives*. Additionally, each of the five criteria was weighted for overall strategic importance to the potential project and the Department.

#	SCORING CRITERIA	DEFINITION	WEIGHTING
1	Future Agility and Adaptability	The ability of an Alternative to adapt to future child welfare community technology and business needs/wants	25%
2	Alignment with Florida Child Welfare Infrastructure Vision	The degree to which an Alternative helps to accomplish the child welfare community business needs and creates efficiencies	25%
3	Return on Investment	There is a positive return on investment (financial, improved public health and safety, etc.)	20%
4	Federal Participation	The level of Federal Participation associated with an Alternative	15%
5	CBC Investments	The costs associated with an Alternative (including implementation and operation expense)	15%

Exhibit II–6: Alternatives Scoring Criteria & Weighting

A 3-level scale was used to score each of the alternatives. Categorical scores for each alternative were determined by multiplying the evaluation scoring and the weighting factor to derive a total score for each criterion.

SCORE	VALUE	EXPLANATION
100		The alternative fully addresses the criteria
50		The alternative moderately addresses the criteria
0		The alternative minimally addresses the criteria

Exhibit II–7: Alternatives Evaluation Measurements

As discussed, each of the Scoring Criteria were added together to determine a final, overall score for each Alternative. The factors used to score each category can be referenced above in Exhibit II-7.

Scoring Criteria	Wt.	ALTERNATIVE 1			ALTERNATIVE 2			ALTERNATIVE 3		
		Score	Value	Total	Score	Value	Total	Score	Value	Total
Future Agility and Adaptability	25%	3	○	0	2	◑	12.5	1	●	25
Alignment with Florida Child Welfare Infrastructure Vision	25%	3	○	0	1	●	25	2	◐	12.5
Return on Investment	20%	3	○	0	1	●	20	2	◐	10
Federal Participation	15%	3	○	0	1	●	15	2	◐	7.5
CBC Investments	15%	1	●	15	2	◑	7.5	3	○	0
Total Weighted Score	100%		15			80			55	

Exhibit II–8: Alternatives Evaluation

4. Recommended Business Solution

Based upon the analysis of three alternatives and the needs of the Department, the recommended business solution for the *FSFN Path Forward Initiatives* as outlined under Alternative 2 is in the best interest of DCF, the Department's customers and partners, and the State. Alternative 2 includes recommendations for immediate business and functional needs in FSFN, alignment with federal regulation changes, and electing to become a CCWIS-compliant state.

The below graphic depicts a high-level recommended timeline for Alternative 2 execution. The activities and operation of a CCWIS solution will be determined through the CCWIS planning initiative in FY 2018/19.

Exhibit II–9: Alternative 2 Timeline

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D. Functional and Technical Requirements

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

"Path Forward" Requirements

Enhancing FSFN to support Title IV-E Guardianship Assistance Program

- Within FSFN capture federal and state business and data needs allowing DCF to meet federal reporting requirements, such as National Youth in Transition Database (NYTD) and Adoption and Foster Care Analysis and Reporting Systems (AFCARS).

Enhancing FSFN for Title IV-E Eligibility Determinations

- With regard to establishing GAP, eligibility determination functionality will need to be created within FSFN.
- DCF plans to update FSFN functionality for tracking and funding Title IV-B[7] and Title IV-E eligible services after the expiration of the Title IV-E waiver. DCF seeks to maximize funding and services available through improved child welfare system tracking of: services delivered; provider(s); recipient(s); and respective caregiver(s).

Enhancing FSFN to support Title IV-E Independent Living & Extended Foster Care

- Implement Extended Foster Care to eligible young adults ranging in ages 18-22 (not yet 23), and include support in making the transition to self-sufficiency.
- Enhance the Independent Living services captured in FSFN to accurately reflect child welfare services to youth populations. This includes Maintenance Adoption Subsidy (MAS) coverage to youth adopted at age 16 or 17 years to extend their coverage up to 21 years old, providing financial and service support to assist special needs children and their families.
- Establish IL functionality within FSFN to capture federal and state business and data needs. This additional data capture will allow DCF to meet federal reporting requirements, such as Chafee Foster Care Independence Program ("Chafee"), National Youth in Transition Database (NYTD), and Adoption and Foster Care Analysis and Reporting Systems (AFCARS).

CCWIS Requirements

Florida should work closely with ACF to selectively approve the system changes and resulting functional and technical requirements required for implementation of a new CCWIS-compliant child welfare information system. It is imperative communication continues with the ACF analyst to receive the most direct guidance and approval possible.

As the CCWIS planning initiative evaluates the best way to align the FSFN system and its business processes to capitalize on the new CCWIS vision, the below CCWIS Requirements, as outlined in Federal Regulation 45 CFR 1355, should be closely evaluated. As part of the ACF's transition from SACWIS to CCWIS, ACF is aiming to allow states more flexibility in how their respective systems are constructed, with specific focus on modularity, data quality, and data sharing. This transition will allow for maximum benefit and flexibility as each state sees fit.

Increased flexibility for data interoperability between agencies and the child welfare community will allow DCF to identify and determine what information technology solutions will best serve the needs of child welfare services across the state. Unlike the previous Statewide Automated Child Welfare Information System (SACWIS) requirements, which hindered the collection of child-related information from external sources and systems due to its monolithic nature, the CCWIS regulations mandate two-way data exchanges between child welfare agencies and other critical agencies housing child related data, including Medicaid, courts, and schools, to the extent practicable.[8]

In the Community-Based Care (CBC) environment throughout Florida, the application of bi-directional data exchanges could improve the quality of data available for federal and state reporting requirements. Due to the unique nature of Florida's system of care, which includes public and private sector involvement throughout the

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[7] https://www.ssa.gov/OP_Home/ssact/title04/0400.htm

[8] https://www.gpo.gov/fdsys/pkg/FR-2016-06-02/pdf/2016-12509.pdf

lifecycle of a case, data is not consistently entered into one system. Rather, data is entered into ancillary systems and then entered into FSFN. CBCs having flexible data exchanges could improve data collection and quality, improve the Title IV-E eligibility determinations, provide child welfare professionals more time with the children and families they work with, and improve the accuracy of financial and child welfare data transmitted to and shared with DCF for federal and state reporting needs.

CCWIS is broken down into the following requirement categories:

- Efficient, economical, and effective requirements
- CCWIS data requirements
- Reporting requirements
- Data quality requirements
- Bi-directional data exchanges
- Data exchange standard requirements
- Automated eligibility determination requirements
- Software provision requirement
- Submission requirements
- Other applicable requirements

A gap analysis was conducted to determine which requirements DCF is already meeting compared to those DCF would have to meet to become CCWIS-compliant. The gap analysis was defined within four categories. These categories, as demonstrated in the chart, provide the corresponding status of each respective requirement.

Currently Being Met: This category signifies the Department is currently fulfilling the CCWIS requirement. Changes are not currently needed.

Not Currently Being Met (Technical), Required: This category signifies the Department is not currently meeting the CCWIS requirement, and must meet this requirement to be CCWIS-compliant. The requirements in this category are more technical in nature, potentially affecting FSFN.

Not Currently Being Met (Non-Technical), Required: This category signifies the Department is not currently meeting the CCWIS requirement, and must meet this requirement to be CCWIS-compliant. The requirements in this category are more related to business policies and procedures.

Not Currently Being Met, To the Extent Practicable: This category signifies the Department is not currently meeting the CCWIS requirement, and, if needed, should be able to justify this discrepancy through the annual APD's Business Case for impracticableness.

The chart found in Appendix 1 shows each of the official CCWIS Requirements, as defined in Federal Rule, and shows DCF's corresponding status to each respective requirement. This analysis is based on FSFN capabilities, not necessarily actual usage. The categories assigned here are based on minimum requirements to be CCWIS compliant, not ideal future state hypotheticals.

STATUS	NUMBER OF REQUIREMENTS PER STATUS
Currently Being Met	17
Not Currently Being Met (Technical), Required	15
Not Currently Being Met (Non-Technical), Required	16
Not Currently Being Met, To the Extent Practicable	7

Exhibit II–10: Requirements for CCWIS Compliance Count

III.   Success Criteria

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

The success of the *FSFN Path Forward Initiatives* project will be based on several quantitative and qualitative factors. Each of these factors are in alignment with the business objectives and proposed business process requirements outlined in the Strategic Needs Assessment section of this document, as well as the overall vision and mission of the Department.

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

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date
1	The solution will enable the Department to consistently determine IV-E eligibility.	Implementation of updates to automated functions	DCF/State of Florida Florida Taxpayers Children & Families	FY 2019/2020
2	The state reports to ACF on updated IV-E eligibility determination.	ACF approval of reporting	DCF/State of Florida Florida Taxpayers Children & Families	FY 2019/2020
3	The project will be completed within the prescribed budget constraints defined in advance of project initiation.	Project financial data	DCF/State of Florida Florida Taxpayers Children & Families	FY 2019/2020
4	The department will submit a decision to ACF on CCWIS election determination.	CCWIS election submitted to ACF	DCF/State of Florida Florida Taxpayers	FY 2019/2020

Exhibit III–1: Project Success Criteria

Benefits of FSFN "Path Forward" Initiatives

One benefit of the *FSFN Path Forward Initiatives* Project is that it will provide DCF with consistent and expanded Title IV-E eligibility determinations for all children. This will also support CCWIS initiatives as the system of record for eligibility determinations, as well as Title IV-E reviews, audits and other monitoring.

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

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

The calculated tangible benefits compared to the total investment of resources needed to support this project were derived through a Cost Benefit Analysis (CBA) comparing alternatives that support the achievement of the Department's short-term and long-term business needs. The CBA presented in this section identifies the following:

- Estimated program costs
- Estimated program benefits, both tangible and intangible
- Fiscal metrics associated with implementing the program

The following alternatives were used in this comparison.

- **Alternative 1:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a non-CCWIS election and continue maintaining and enhancing FSFN going forward under non-CCWIS funding rules.
- **Alternative 2:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline. Plan and assess current business processes to align the Florida child welfare community and systems to the new federal CCWIS requirements.
- **Alternative 3:** Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline, and immediately begin building a new CCWIS-compliant system.

This CBA will provide the estimated costs for the planning and development of system enhancements required for each of the alternatives and assumptions for benefits which will potentially be realized because of those same enhancements. The CBA will also consider the differences in available funding to support each of the alternatives. This analysis is used to determine which alternative provides the most financial benefit to the Department.

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.

Benefits for the "Path Forward" initiative support the Department's goals for improved business processes. Consideration was given to potential calculations that could assign a justifiable value to each of the benefits – these calculations represent the tangible benefits. Benefits that could not be immediately assigned a tangible dollar value are represented as intangible benefits. While these benefits may not result in direct or identifiable financial benefit, they are important to consider because they represent a critical connection or improvement in the delivery of services and potential outcomes to children and families.

The following table provides a description for how each benefit identified will be realized:

				BENEFITS REALIZATION TABLE		
#	Description of Benefit	Tangible or Intangible?	Who receives the benefit?	How is benefit realized?		Realization Date
1	Increased Federal Title IV-E Grant Funding from "Path Forward" Changes Implemented	Tangible	DCF/State of Florida	"Path Forward" will enable DCF to have access to grant funding otherwise unavailable to them.		SFY19/20
1	Potential for increased IV-E eligibility determinations	Intangible	DCF/State of Florida	With more accurate tracking of "Path Forward" initiative programs (guardianship, eligibility, and extended foster care), there is the potential for increased Title IV-E federal funding. (While there is potential for a tangible benefit as it relates to increased eligibility, there is not the opportunity to determine what that dollar value would be at this time.)		N/A
2	Increased access for critical funding eligibility	Intangible	Youth and Families	Improved eligibility determinations, federally approved guardianship assistance, and supporting extended foster care will allow DCF to get federal funding to better support youth, guardians, and families.		N/A
3	Supports system alignment with Department program goals and objectives	Intangible	DCF/State of Florida	One of the primary goals of the Department in the near future is to establish a services array, which is dependent on the functionality included in "Path Forward" initiatives. As business demands change and FSFN architecture ages, it is important to invest in system improvements that will drive system growth that aligns with the overall vision of the Department.		N/A

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Tangible or Intangible?	Who receives the benefit?	How is benefit realized?	Realization Date
4	CCWIS planning initiative will better align the needs of the Department and the child welfare community with the CCWIS Requirements	Intangible	DCF/State of Florida Children and Families	Upon conclusion of the CCWIS planning initiative, it will be determined how best to align CCWIS with future people, process, and technology needs of the child welfare community. Implementing these updates to business processes and technical solutions creates opportunities for DCF to realize efficiencies in the future.	Upon implementation of CCWIS planning initiative recommendations

Exhibit IV–1: Benefits Realization Table

It is important to note that while many of the benefits listed above are currently intangible, system enhancements present an opportunity for the Department to see significant tangible return for the investment of improving FSFN, such as ease of system use for end users, increased retention and morale of child welfare professionals, more modern tools for managing caseloads, and flexibility for local services.

In addition, enhancements that are associated with CCWIS compliance, including bi-directional interfaces, data quality, and improved data monitoring, will result in numerous time efficiencies and improved use for current DCF and CBC resources. These benefits can be further analyzed and tangible amounts can be estimated upon completion of the CCWIS planning initiative showing how aligning with CCWIS compliance will impact the current FSFN system and DCF's business processes.

B. Cost Benefit Analysis (CBA)

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

This section contains the CBA forms which present the cost and benefit analyses for the CCWIS Project. This provides a picture of the program's financial impact, as evidenced by the Internal Rate of Return (IRR), the Net Present Value (NPV), the Payback Period, and the Breakeven Fiscal Year.

The cost information used for the estimated project cost was developed in collaboration with the financial reporting and planning, current system integrator supporting FSFN, as well as through utilization of project costing best practices. The project costs seen throughout this section represent an estimate to be used for budgetary planning purposes only, as actual costs may vary. Annual costs and benefit realization values may vary based on development timelines, changed business requirements, and chosen system vendor specifications.

The following analyses were developed using the Schedule IV-B prescribed CBA template. The completed CBA forms with detailed costing information for each alternative on an annual basis can be found in Section VIII.

1. Project Cost Summary

The table below is the Project Cost Summary for Alternative 2 over a span of two fiscal years, as indicated by the implementation timeline found in Section II. The total cost over the 3-year development timeline for the project is **$14,695,030**.

	FY 17-18	FY 18-19	FY 19-20	Total
Total Project Costs	$0	$9,063,814	$5,631,216	$14,695,030

Exhibit IV–2: Alternative 2 Project Cost Table

For a detailed breakdown of costs on an annual basis for either alternative, see the Cost Benefit Analysis supporting spreadsheets in Appendix 2.

2. Considerations for Federal Funding

Under the CCWIS final rule, states are eligible for a federal Title IV-E match of up to fifty-percent (50%) for development and operational costs as they relate to the approved activity and appropriate program categories. Approved activity defined by ACF includes a project task that supports planning, designing, developing, installing, operating, or maintaining a CCWIS. CCWIS automated functions may be exempted from one or more of the four CCWIS design requirements, if the title IV-E agency meets a requirement for exemption. The requirements are: transitioning systems or more efficient, economical, and effective technology (45 CFR 1355.53(b)(1)). Under this rule, FSFN and its existing automated functions are exempt from meeting the CCWIS design requirements as long as CCWIS election is made before the end of the transition period.

The following table represents system costs that will be eligible for federal reimbursement:

	Costs can be allocated to Title IV-E if costs benefit…			
	Title IV-E funded participants in Title IV-E programs and activities	State or tribal funded participants of programs and activities described in Title IV-E	Title IV-B Programs	Both Title IV-E and child welfare related programs (APS and Juvenile Justice)
CCWIS Development	✔	✔	✔	✔
CCWIS Operational	✔	✔	X	X
Non-CCWIS (development and operational)	✔	X	X	X

Exhibit IV–3: Cost Allocation Comparison

To receive CCWIS funding, ACF requires an Advance Planning Document (APD) detailing DCF's desire to elect CCWIS and providing ACF with detailed cost information across the project lifecycle. Under the recommended business solution in Alternative 2, the CCWIS election process will complete before the end of the transition period by July 31, 2018. By electing prior to the end of the transition period, existing system architecture is exempt from the CCWIS design requirements, allowing FSFN to serve as the core of a CCWIS system. If DCF does not elect to transition to CCWIS before the July 31, 2018, further analysis will need to be completed to determine if there are system enhancements needed to ensure that FSFN can support CCWIS design requirements and can serve as the central framework for a CCWIS-compliant system. This analysis would be included in the CCWIS planning initiative which is requested in this Schedule IV-B.

3. Development Costs

The following table compares project funding sources for project development as it relates to Alternative 2 throughout the lifecycle of the project.

When considering the financial impact on the state, the following table (Exhibit IV-4) depicts the financial impact at the state and federal level, using cost allocation methodology from the CCWIS final rule and the table above (Exhibit IV-3). Following the CCWIS transition period when the CCWIS election is made (before August of 2018), ACF-approved system enhancements, which align with CCWIS regulations, will be eligible for fifty-percent (50%) development federal match. Under this assumption, the total state investment for system development and CCWIS planning initiatives will be **$7,347,515**.

Project Funding Sources				
	FY 17-18	FY 18-19	FY 19-20	TOTAL
State General Revenue	$0	$4,531,907	$2,815,608	$7,347,515
Federal Match	$0	$4,531,907	$2,815,608	$7,347,515

Exhibit IV–4: Project Funding Sources

In addition to the federal match available in Alternative 2 for the scope of this project, it is important to additionally consider that system enhancements beyond the life of this project would continue to be eligible for a fifty-percent (50%) federal match per the CCWIS guidelines. This federal match will continue to benefit DCF.

4. Operational Costs

While there is opportunity for a fifty-percent (50%) federal funding match under the CCWIS rules for some operational costs, that match can be difficult to quantify and will be at the discretion of ACF. For Alternative 2 enhancements that support Title IV-E eligible activities, CCWIS funding is available, but that funding will be tailored to account for functionality that also supports other program activities. To identify which enhancements are going to be eligible to receive CCWIS funding, it is important that DCF work closely with the designated ACF Analyst as enhancements and system changes are requested. For the purposes of this cost analysis, costs were analyzed through a conservative lens. It was assumed that operational costs were not eligible for CCWIS funding, and the federal match was calculated at nineteen-percent (19%) – the rate identified as the current Title IV-E reimbursement rate.

The Department has computed the following values, for Alternative 2, for the *FSFN Path Forward Initiatives* using a five-year cost benefit analysis.

| CBAForm 1 - Net Tangible Benefits | | Agency | Florida DCF | | Project | FSFN Path Forward |

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		FY 2017-18			FY 2018-19			FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23		
		(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)	(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	Cost Change 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	Cost Change Operational Cost Change	New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A.b Total Staff		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-1.b. State FTEs (#)		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	$0	0.00	0.00	0.00	0.00
A-2.a. OPS Staff (Salaries)		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	$0	0.00	0.00	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)		0.00	$0	$0		$0	$0		$0	$0		$0	$0		$0	$0		$0	$0
A-3.b. Staff Augmentation (# of Contractors)		0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	$0	0.00	0.00	0.00	0.00
B. Application Maintenance Costs		$0	$0	$0	$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	$0	$0	$0
B-2. Hardware		$0	$0	$0	$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	$0	$0	$0
B-4. Other	Programming	$0	$0	$0	$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	$0	$0	$0
C-1. Managed Services (Staffing)		$0	$0	$0	$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	$0	$0	$0
C-3. Network / Hosting Services		$0	$0	$0	$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	$0	$0	$0
C-5. Other	Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs		$0	$0	$0	$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	$0	$0	$0
E-2. Travel		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other	Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total of Recurring Operational Costs		$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
F. Additional Tangible Benefits:																			
F-1. Guardianship (GAP)	Increased Federal Title IV-E Grant					$0			$1,035,000			$3,450,000			$3,450,000			$3,450,000	
F-2. Extended Foster Care	Increased Federal Title IV-E Grant					$0			$386,400			$1,288,000			$1,288,000			$1,288,000	
F-3. Eligibility	Increased Federal Title IV-E Grant					$0			$345,000			$1,150,000			$1,150,000			$1,150,000	
Total Net Tangible Benefits:		$0	$0	$0	$0	$0	$0	$0	$1,766,400	$0	$0	$5,888,000	$0	$0	$5,888,000	$0	$0	$5,888,000	$0

Exhibit IV–5: Operational Costs & Tangible Benefits

Florida Department of Children and Families
SFY 2018-19

Florida DCF	FSFN Enhancements																				CBAForm 2A Baseline Project Budget					
Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. **Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.**				FY2017-18			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL				
			$ -	$ -																				$ 14,695,030		
Item Description *[remove guidelines and annotate entries here]*	**Project Cost Element**	**Appropriation Category**	**Current & Previous Years Project-Related Cost**	YR 0 #	YR 0 LBR	YR 0 Base Budget	YR 1 #2	YR 1 LBR	YR 1 Base Budget2	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL				
Costs for all state employees working on the project.	FTE	S&B	$ -	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 $ -	$ -		$ -				
Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	$ -	0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ -				
Project management personnel and related deliverables.	Project Management	Contracted Services	$ -	0.00	$ -		0.00 $ 565,760	$ -		0.00 $ 565,760	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ 1,131,520				
Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	$ -	0.00 $ -	$ -		0.00 $ 282,880	$ -		0.00 $ 282,880	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ 565,760				
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	$ -	0.00 -	$ -		0.00 $ 5,563,174	$ -		0.00 $ 3,191,376	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ 8,754,550				
Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	$ -	$ -	$ -		$ 1,591,200	$ -		$ 530,400	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ 2,121,600				
Hardware purchases not included in data center services.	Hardware	OCO	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
All first-time training costs associated with the project.	Training	Contracted Services	$ -	$ -	$ -		$ 1,060,800	$ -		$ 1,060,800	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ 2,121,600				
Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are	Data Center Services - One Time Costs	Data Center Category	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
Other contracted services not included in other categories.	Other Services	Contracted Services	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
Include costs associated with leasing space for project personnel.	Leased Space	Expense	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
categories.	Other Expenses	Expense	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -				
	Total		$ -	0.00 $ -	$ -		0.00 $ 9,063,814	$ -		$ - $ 5,631,216	$ -		$ - $ -	$ -		$ - $ -	$ -		$ - $ -	$ -		$ 14,695,030				

Exhibit IV–6: Baseline Program Budget

CBAForm 2 - Project Cost Analysis

Agency	Florida DCF	FSFN Path Forward

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)						TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	$0	$9,063,814	$5,631,216	$0	$0	$0	$14,695,030
CUMULATIVE PROJECT COSTS (includes Current & Previous Years' Project-Related Costs)	$0	$9,063,814	$14,695,030	$14,695,030	$14,695,030	$14,695,030	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.							

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B						TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	$0	$4,531,907	$2,815,608	$0	$0	$0	$7,347,515
Trust Fund	$0	$0	$0	$0	$0	$0	$0
Federal Match ☑	$0	$4,531,907	$2,815,608	$0	$0.00	$0	$7,347,515
Grants ☐	$0	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$0	$9,063,814	$5,631,216	$0	$0	$0	$14,695,030
CUMULATIVE INVESTMENT	$0	$9,063,814	$14,695,030	$14,695,030	$14,695,030	$14,695,030	

Exhibit IV–7: Project Cost Analysis

CBAForm 3 - Project Investment Summary | **Agency** | Florida DCF | FSFN Path Forward

COST BENEFIT ANALYSIS -- CBAForm 3A	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	$0	($9,063,814)	($5,631,216)	$0	$0	$0	($14,695,030)
Net Tangible Benefits	$0	$0	$1,766,400	$5,888,000	$5,888,000	$5,888,000	$19,430,400
Return on Investment	$0	($9,063,814)	($3,864,816)	$5,888,000	$5,888,000	$5,888,000	$4,735,370

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	4.20	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2022-23	Fiscal Year during which the project's investment costs are recovered.
ROI	32.22%	Return on investment is the measure of a project's net benefits relative to it's total costs.
Net Present Value (NPV)	$1,513,239	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	12.38%	IRR is the project's internal rate of return.

Investment Interest Earning Yield -- CBAForm 3C						
Fiscal Year	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%	6.16%

Exhibit IV–8: Investment Summary
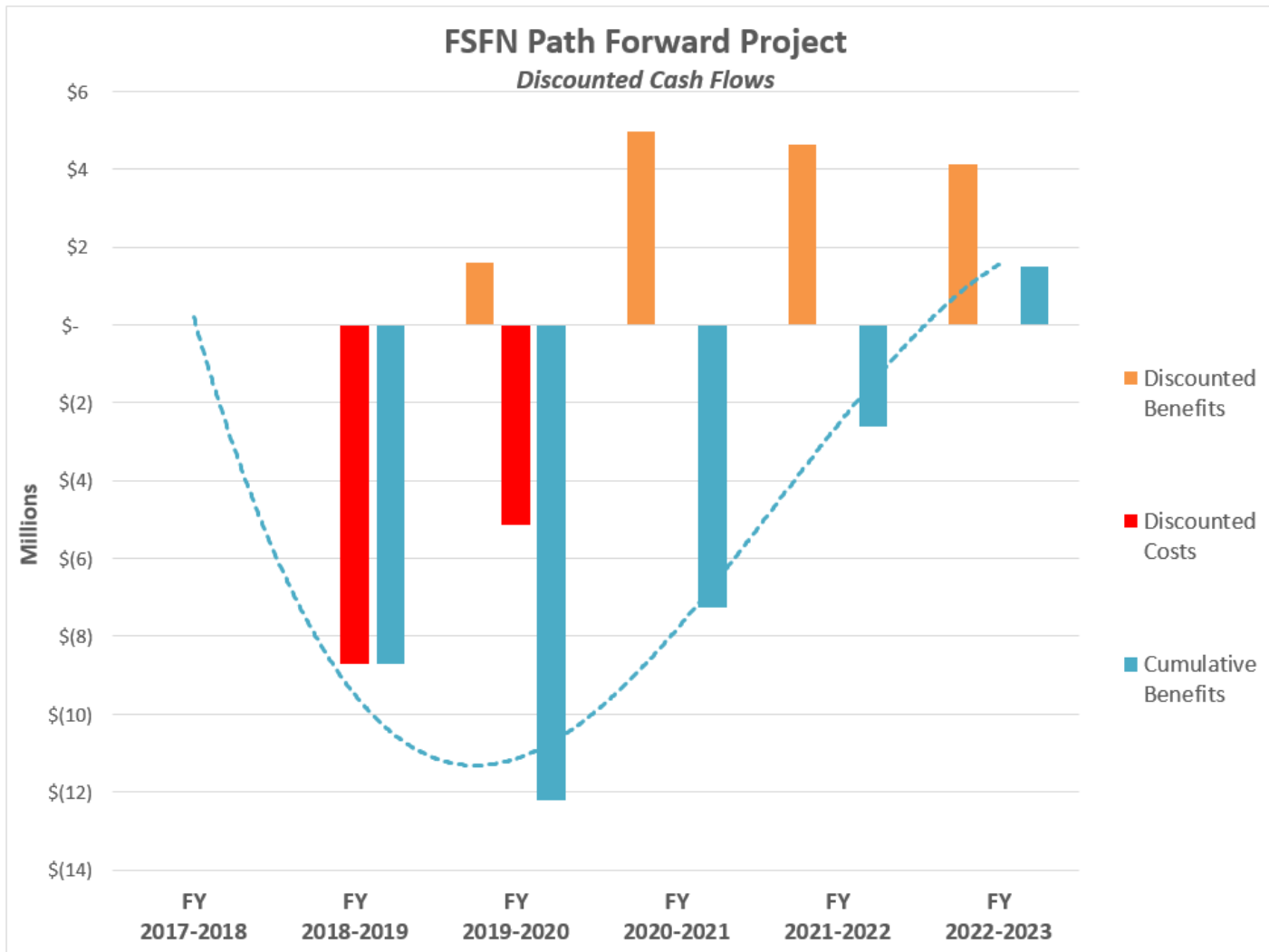
Exhibit IV–9: Alternative 2 Cumulative Discounted Cash Flow

C. The Cost-Benefit Analysis Results

The CBA shows the costs of the *FSFN Path Forward Initiatives* and the related tangible benefits are realized by implementing these modifications. The business decision to update FSFN is based on DCF's alignment with recent changes to federal regulations. The primary business needs for this project are to implement the Department's "Path Forward" initiatives, make an informed CCWIS election, and complete a comprehensive CCWIS planning initiative.

1. Project Costs

The estimated total cost for implementing the proposed *FSFN Path Forward Initiatives* project is $14,695,030 with 50% covered through federal match funding. We estimate that training and OCM will require a three-person team to develop, lead and deliver, and will cost approximately $2,121,600 over two fiscal years. In addition, we estimate that this project will require a two-person team to provide project management services and will cost approximately $1,131,520 over the same period. In addition, we assess one full-time employee will be needed for Independent Verification and Validation (IV&V) services, which will cost an estimated $565,760. See Exhibit IV-10 below.

FTE and Cost Breakdown for Support Services		
Category	**FTEs**	**Total Cost**
Training/ OCM	3.0	$2,121,600
Project Management	2.0	1,131,520
IV&V	1.0	$565,760

Exhibit IV–10: Support Services

We estimate that the CCWIS planning initiative will require 6 full-time employees over a 12-month period and will cost $2,121,600.

FTE and Cost Breakdown for CCWIS Planning		
Category	**FTEs**	**Total Cost**
CCWIS Planning Initiative	6.0	$2,121,600

Exhibit IV–11: CCWIS Planning & Path Forward

2. Costs Realization Timeline

The following table provides a breakdown and explanation of the expected direct costs to the State of Florida and the overall costs for Alternative 2, which is assumed will be divided between the State and Federal government[9].

	FY17-18	FY18-19	FY19-20	FY20-21	FY21-22	FY22-23	5-Year Total
Total Cost (MM)	$0.0	$9.1	$5.6	$0.0	$0.0	$0.0	**$14.7**
Total State Cost (MM)	$0.0	$4.5	$2.8	$0.0	$0.0	$0.0	**$7.3**
Total Federal Cost (MM)	$0.0	$4.5	$2.8	$0.0	$0.0	$0.0	**$7.3**

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[9] Figures subject to rounding to the nearest $100,000.

<p style="text-align:center;">**Exhibit IV–10: Alternative 2 Summary of Costs**</p>

3. Project Financial Return Analysis

The Department has computed the following values, for Alternative 2, for the *FSFN Path Forward Initiatives* project using a five-year cost benefit analysis.

Investment Term	Computed Value
Total Cost (MM)	$14.7 one-time payment over two years
Tangible Benefits (MM)	$7.7 per year in recurring benefits
Payback Period	4.20 years
Payback Date	2022-23
	5 Year Analysis
Net Tangible Benefits (MM)	$19.4 (benefits minus costs)
ROI	32.22%
NPV (MM)	$1.51
IRR	12.38%

<p style="text-align:center;">**Exhibit IV–13: Alternative 2 Financial Return Analysis**</p>

- The project breaks even in 4.20 years. This will occur during FY 2022-2023.
- The five-year NPV is $1.51MM.
- The internal rate of return for this project is 12.38%. The Florida Legislature's Office of Economic and Demographic Research (EDR) estimates the cost of capital for investment analysis purposes to be 4.85% at the end of the five-year timeline.
- Net Tangible Benefits will require additional analysis and calculations as the Title IV-E programs for GAP and EFC are implemented from a program and technical aspect.
- The eligibility changes once updated in FSFN are expected to increase the Title IV-E funding available based on the improved eligibility rates. Historically for Florida, the eligibility rates are close to 75% for Foster Care and close to 80% for Adoption.

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.

A risk assessment of the *FSFN Path Forward Initiatives* was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool collects the risk characteristics of the project based on responses to 89 questions, organized into eight assessment categories. The results of the assessment are summarized below.

1. Risk Assessment Summary

The overall risk assessment for this project is rated as "High." Project risk was determined by the answers provided to the questions associated with the eight assessment areas found in the risk assessment tool. This rating reflects assessment ratings of "Low" in none of the eight assessment areas, "Medium" in three of the eight assessment areas and "High" in five of the eight assessment areas. The primary drivers for a high-risk rating are the categories determined high risk based on the assessment:

- **Strategic Assessment** – The project will have state enterprise visibility and potentially take longer than two (2) years. Some of the project milestones and completion dates are fixed by state or federal law. This creates a High-risk assessment for the Strategic Area.
- **Technology Assessment** – The technology solution will be completed by external technical resources. Technology alternatives have not been fully researched or considered. The proposed solution will require extensive infrastructure changes to complete the work.
- **Organization Change Management Assessment** – This project will require extensive changes to the organizational structure and business processes and impact external business processes. The Department will need additional contractors to support the project.
- **Fiscal Assessment** – The size and elapse duration of the project are significant drivers in the overall risk classification for this category. Likewise, uncertainty around benefit amounts and timing are also contributors. Any statewide eligibility reengineering project would likely have a similar risk level.
- **Project Complexity** – The proposed project involves more than three (3) stakeholders and more than four (4) external entities. As a result, this assessment category is rated as High. For a project of this type a high-risk level is expected for project complexity.

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

Exhibit V-1 is a graphical representation of the results computed by the risk assessment tool. When answering the questions in the risk assessment tool, it was assumed the current project management and governance structure in place for managing Child Welfare Program projects would remain in place for the project.
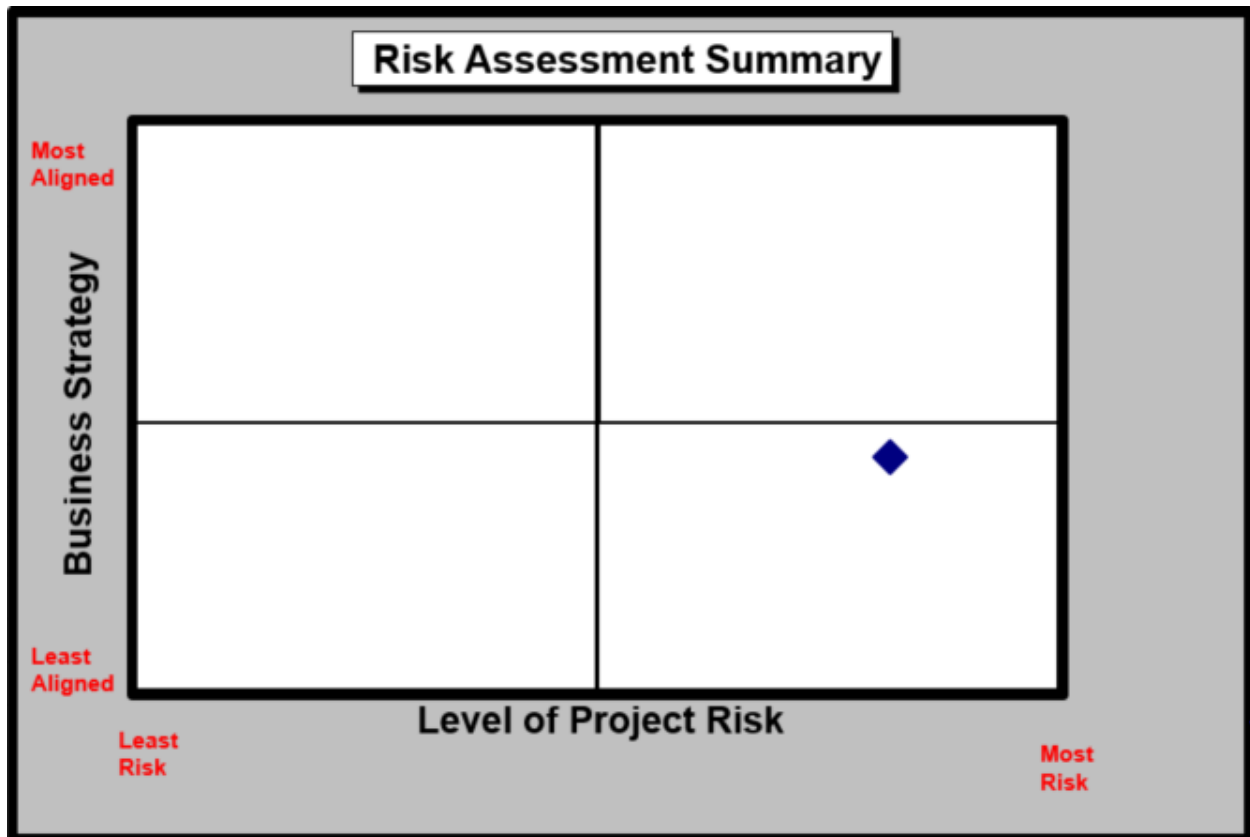
Exhibit V–1: Project Risk Assessment Summary

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

- Strategic Risk
    a. Project objectives will be clearly aligned with DCF's mission and statutory charge
    b. Project objectives will be clearly documented and signed off by the stakeholders
    c. Project vision for how changes to the proposed technology will improve business processes
- Technology Exposure Risk
    a. Technology solution will be developed and reviewed by SMEs
    b. Detailed hardware and software requirements will be defined
- Change Management Risk
    a. Organizational Change Management Plan will be developed and approved
- Communication Risk
    a. Communication Plan will be approved
    b. Communication Plan will promote the routine use of feedback (at a minimum)
    c. Stakeholders will be included in the Communication Plan
    d. Key messages will be documented in the Communication Plan
    e. Desired message outcomes and success measures will be documented in the Communication Plan
    f. Communication Plan will identify and assign needed staff
- Fiscal Risk
    a. Spending Plan will be documented and approved for the project lifecycle
    b. Project expenditures will be identified and documented in the Spending Plan
    c. Funds will be available within existing resources to complete the project

d. Federal financial participation will be requested and received
- Project Management Risk
  a. Requirements and specifications will be defined and documented
  b. Work Breakdown Structure will be defined to the work package level
  c. Project schedule will specify all project tasks, go/no-go decision points, milestones and resources
  d. Project schedule will be created for the entire project lifecycle
- Project Complexity Risk
  a. Communication and Change Management Plan will be used to support multiple site team members and external entities

The overall project risk level will decrease from "High" when the above items are addressed. Additionally, addressing these items will shift the current placement of the project from an unfavorable to a favorable risk quadrant to reflect a more accurate alignment with the Business Strategy not currently represented due to limitations associated with the risk assessment tool.

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

Project Risk Area Breakdown

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

Exhibit V–2: Project Risk Assessment Summary Table

The Department's plan to continually identify, assess, and mitigate risk throughout the life of the project is discussed in Section VII, Project Management Planning. The completed risk assessment tool can be found in Appendix 3.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

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

1. Current System

FSFN is an enterprise application for managing Florida's child welfare programs which supports the previous federally mandated "Statewide Automated Child Welfare Information System (SACWIS)" requirements. This system is used by approximately 15,000 users located throughout the State of Florida.[10] The FSFN system produces reports on various child welfare statistics for the federal Department of Health and Human Services.

The hosting of the FSFN system is currently being migrated to the Amazon Web Services (AWS) cloud platform. This migration to AWS is expected to be completed by December 2017. A modular based approach is being used to build the AWS architecture for the FSFN system. The technical architecture is organized into five key modules which will be discussed in the following subsections:

- Application Web Servers – WebLogic

- Reporting Servers – SAP Business Objects and File Servers

- Data Extract, Transform, and Load (ETL) Servers – SAP Data Services

- Batch Processing – Java, COBOL, and FTP

- Databases – IBM DB2 zOS, IBM DB2 LUW, Oracle DB

Application Web Servers

AWS will host the FSFN Web Application for the State of Florida's Child Welfare System. The Web Application is an enterprise application, accessed by users across the State of Florida. The FSFN Web Application consists of five WAR/EAR deployments in WebLogic, all written in Java.

The diagram presented in Exhibit VI–1: FSFN Production Servers provides a high-level overview of how the WebLogic servers integrate into other components of the system.

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[10] Florida Safe Families Network (FSFN) AWS Architecture Overview, 3.1 Document Purpose & Project Background, 7/28/2017
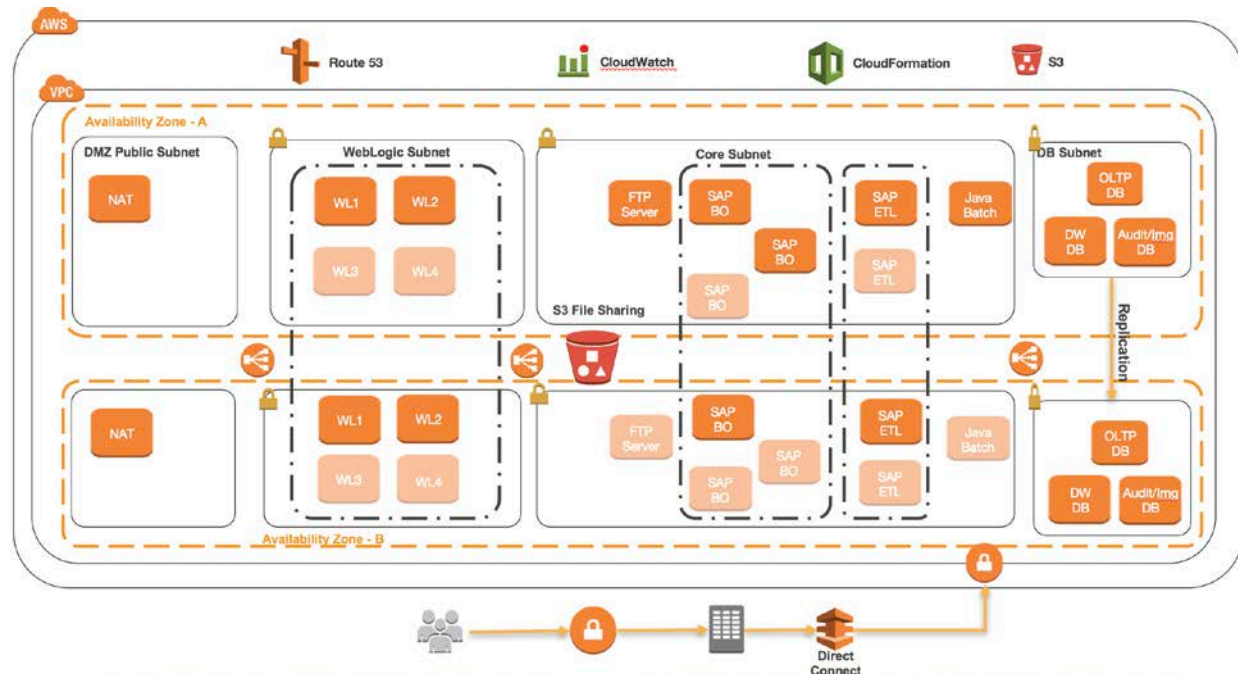
Exhibit VI–1: FSFN Production Servers

There are three network boundaries: Outside of the State Network, Inside the DCF Network, and Inside the Amazon Web Services (AWS) Network. The Outside of the State Network boundary represents users of the FSFN system that are not located in a State Office. The DCF Network boundary represents where users and systems are in the Department of Children and Families offices and the Department owns the management of the resources. The AWS Network boundary represents the data center run by the AWS.

Reporting Services

SAP Business Objects operates as the reporting component in the FSFN system. Business Objects contains over 1,000 reports that are both system reports and user created reports. Federal Reports are also included in Business Objects.

Data Extract, Transform, and Load (ETL)

SAP Data Services (DS) performs functions needed to share data with other systems. The ETL applications extract data from the OLTP database, reorganize the data to make it easier to report on, and write the data to a Data Warehouse and Data Mart database. Additionally, DS produces daily case files for each of the Community Based Care organizations.

Batch

Batch jobs perform one of three functions: Update Data, Create Files, and Interface with other Agency Systems.

Databases

There are five primary databases used to store data by the FSFN system.

1. OLTP
2. Data Warehouse
3. Data Mart
4. Image
5. Audit

The OLTP database contains the transactional data. This is the system of record for Child Welfare in the State of Florida. The Data Warehouse contains transactional data which has been reorganized to simplify reporting. The Data

Mart contains transactional data for client reporting. The Image database stores documents that are uploaded through the Web Application. The Audit database stores entries for user interactions with the Web Application. The following diagram displays the interaction of the OLTP database with other components of the FSFN system.

2. Information Technology Standards

The following table outlines the Information Technology standards for FSFN:

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

Exhibit VI–2: Information Technology Standards for FSFN

B. Current Hardware and/or Software Inventory

1. Server Inventory

The production server environment in AWS is being designed to maintain high availability for servers needed to support the workers 24 hours a day, 7 days a week, 365 days a year. The environment has the option of scaling the specific instance groups up and down among a number of pre-configured instances depending on peak hours or increased performance.

Other servers that perform regular but not continuous jobs use a fail-over design to assure availability of these servers however they are not designed to be highly available.

The diagram, in Exhibit VI–1: FSFN Production Servers, provides a high-level architecture of the production environment's primary VPC. Additional information on all the FSFN AWS environments can be found in the Florida Safe Families Network (FSFN) AWS Architecture Overview document.

2. Software Inventory

The following table contains specific licensed software and quantities needed for the FSFN system at a Cloud Service Provider. It is assumed that all other software licenses are covered under a GNU license.

Software	License Requirements
IBM DB2	4220 PVUs
Oracle BEA WebLogic	40 (80 Virt Cores)

Software	License Requirements
SAP BOE and Data Services	9 UN Web Intelligence CPU 3 UN BOE Enterprise Premium CPU UN BOBJ Data Integrator Premium per 4-CPU 80 Named User Dev/Test 20 Crystal Developer 1 SAP xcelsius
CA Workload Center (AutoSys)	25 Agents 1 Prod server 1 Test server iDash license
Splunk Cloud	15G Cloud Subscription

Exhibit VI–3: Software Inventory

C. Proposed Technical Solution

Three Alternative business solutions where considered for this Schedule IV-B. Each of these have significantly different technical impacts.

Alternative 1: Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a non-CCWIS election and continue maintaining and enhancing FSFN going forward under non-CCWIS funding rules.

- **Technical Impact:** Minimal changes to the technical architecture. Changes would be made to existing application components. System flexibility will continue to degrade, while costs to maintain will continue to accelerate. Data quality will still be highly dependent on manual interventions.

Alternative 2: Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline. Plan and assess current business processes to align the Florida child welfare community and systems to the new federal CCWIS requirements.

- **Technical Impact:** The initial phase of Alternative 2 would be very similar to Alternative 1, with minimal changes being made to the technical architecture and most changes being made to existing application components. CCWIS changes would begin after the CCWIS planning initiative. CCWIS data quality and integration requirements would likely involve the implementation of data management and integration tools. These tools would address CCWIS requirements as well as addressing critical Department data quality and integration needs. There are several commercial tools available which could run within the Department's AWS hosting environment. Data quality and integration tools would likely cause little technical disruption but would require configuration of the following types of business rules and processes: data governance, data quality, master data management, data security, data warehousing, reporting and analytics. Application integration tools are also available to enable improved flexibility between the FSFN programs and the CBC's. Changes to existing applications would likely be required to incorporate these new application integration capabilities. System flexibility will continue to degrade, while costs to maintain will continue to accelerate until planning is complete and new solutions can be implemented.

Alternative 3: Implement the Department's "Path Forward" initiatives in FSFN to address the Title IV-E waiver expiring. Make a CCWIS election to ACF by the July 31, 2018 transition deadline, and immediately begin building a new CCWIS-compliant system.

- **Technical Impact:** This alternative would replace most of the existing FSFN application with a new solution. The new CCWIS systems will likely be purchased, or built, incrementally as components. The application will likely be built based on industry models, which will need to be adopted to the Department's unique requirements. It will also be built around technical architectural approaches which have evolved considerably since SACWIS requirements were originally published in 1993. Enterprise

architecture will be especially important to ensure the effective and efficient interoperability of those components. Enterprise data management will be especially important (e.g. data governance, data quality, master data management, data security, data warehousing, reporting and analytics). System flexibility will continue to degrade, while costs to maintain FSFN will continue to accelerate until planning is completed and new solutions can be implemented.

D. Proposed Solution Description

1. Summary Description of Proposed System

Alternative 2 has been selected by the Department as the recommended solution. This approach continues to perform critical system enhancements, such as "Path Forward", until a detailed CCWIS alignment planning initiative is completed. These FSFN changes require changes to the following FSFN technical components:

Application Web Servers

This component contains the screens and navigation logic associated with the FSFN application. New data elements and logic will need to be incorporated into the screens, associated data validation and field navigation logic. In cases where new screens are required, the screen navigation logic will need to be updated to incorporate the screen into the application flow.

Reporting Servers

This will involve incorporating new data elements into new, or existing, FSFN reports, and publishing these modifications to the appropriate File Servers. SAP Business Objects is currently being used for FSFN reporting.

Data Extract, Transform, and Load (ETL)

ETL is used primarily to move data within different FSFN databases and some external organizations. ETL is used to take data from FSFN's transactional databases and move them to reporting databases. This is done to isolate the production system from potential reporting performance issues. The reporting and transactional databases are designed considerably different based on the reporting and transactional purposes. ETL is used to handle the transformation of the transactional data structure into the data structure used to support reporting. The addition of data elements will require changes to both the transactional and reporting data structures. The ETL will need to be modified to incorporate these changes.

Batch Processing

Batch processing typically involve activities that can be performed outside of peak hours. These might involve pushing copies of databases and reports out to the CBC's. The updates should have minimal impact on FSFN Batch Processing but will require updates.

Databases

As mentioned above, there are five FSFN databases. The new elements will need to be added to each of those databases. This will require some database design effort to determine if the new columns are added to existing tables, or if new tables may be required. These new data elements would also need to be documented in the data dictionary.

2. Resource and Summary Level Funding Requirements for Proposed Solution

The below table, Exhibit VI-4, shows the estimated personnel time, Level of Effort (LOE), needed to update FSFN for the *FSFN Path Forward Initiatives*. This data was used in calculating the total costs for the project (see Section IV for all cost information).

#	Title	Eligibility LOE (hours)	Descriptions
1	IV-E Adoption Eligibility Refresh/ Links	1,170	Three problems which need to be resolved: The Eligibility Path group box doesn't display. The Eligibility Path Section 8.4c which appears for Private Adoptions is not refreshing when returning from the Legal Record unless a save is done on the page. Question 5b doesn't pre-fill and prevents users from documenting the Adoption Eligibility.
2	Title IV-E Foster Care Eligibility changes for deeming calculations	3,859	This set of changes involves modifying existing logic such that Eligibility is determined based on the income and placement at the time of the Eligibility Effective Date and not based on current system date. In addition, these changes will address determining eligibility when income is unable to be verified, as well as the deeming calculations.
3	Title IV-E Foster Care Eligibility - Modify the IV-E FC Eligibility page displays, logic, and questions.	2,270	This set of changes involves the modifying of logic and display of information related to reimbursable when a Provider is over 25 beds, as well as correctly displaying No for AFDC when Question 6B is No.
4	TANF Eligibility logic changes	1,209	TANF Eligibility pulls Assets & Employment by comparing Effective Date of Eligibility to the Begin and End Dates on A&E Updates Income logic so if they are unable to obtain it the child will be made Ineligible. Updates logic to include Legal Guardian income like Mother and Father. Updates logic to include siblings like Mother and Father.
5	Modify the Use in Eligibility Calculation check	400	Modify the Use in Eligibility Calculation check box to be selected when the Unearned Income Type = Veteran's Benefits (Assets & Employment Page)
6	Modify the A&E Page such that users are always seeing the same A&E page (Assets & Employment Page/ Person Merge)	3,859	Clean and streamline solution to meet the business need and ensure valid and accurate data for audit purposes across FSFN cases.
7	Modify edits on Medicaid Eligibility	400	To prohibit inserting an Initial or subsequent Initial if the child is receiving SSI income based on Assets & Employment. (Medicaid Eligibility).
8	Allow users to search on the FL tab of Medicaid for children with 000-00-0000 or 999-99-9999 as the SSN	1,209	To address issues with children (babies) who are already receiving Medicaid in FL. (Medicaid Eligibility - FL ODS Search page).
9	Modify FSFN for Medicaid Card Requests and flat file	3,644	Modify FSFN to include option for Medicaid Card Requests, as well as modify the flat file sent to FL to include this value. (Medicaid Eligibility and FSFN flat file layout).

#	Title	Eligibility LOE (hours)	Descriptions
10	Modify TANF tables and logic:	2,309	Adds a new check box to Adoption TANF for "Unable to Obtain" related to income - child would be ineligible (Adoption TANF). Modifies the table storing the Adoption TANF information to store the Specials Needs answer upon approval so that it is copied and retained in the Post Adopt Case. Modifies the Eligibility Determination logic. Modifies the table storing the Adoption TANF information to store ALL fields on the page in order for the copied over information in the Post Adopt Case to be maintained.
11	Include additional termination reasons for the Adoption Assistance Agreement page and modify the Adoption Assistance Agreement template to include gender neutral references instead of Mother and Father.	400	"Change in Subsidy" exists in FSFN today and when used on the AAA page it does not "terminate" the associated Adoption Eligibility. All other termination reasons "terminate" the associated Adoption Eligibility. Changing template labels to be gender neutral.
12	Spanish Adoption Assistance Agreement template	3,683	Spanish version of the Adoption Assistance Agreement
13	Allow completion of Title IV-E Adoption Eligibility in Post Adoption Cases without all the existing required pages. (Title IV-E Adoption Eligibility)	3,749	This would require a change to logic that does not require a Title IV-E Foster Care when the Title IV-E Adoption Eligibility is voided BUT ONLY when the child is flagged as Post Adopt AND the child is not in a current removal episode in the Post Adopt Case.
14	Modify Private Adoption hyperlink and fix CTW Date associated with 8.4c2.	1,170	Modify Private Adoption hyperlink from Adoption Eligibility page and fix CTW Date associated with 8.4c2 shows required but FSFN does not require it to approve
15	Adoption Eligibility Data Hammers including OCA	3,683	Fixing adoption records which had been merged incorrectly
16	Payments related to OCA for Adoption TANF Redeterminations	3,644	This requires changes related to Payment Processing and the OCA Batch and consider a future dated Adoption TANF Effective Date as current instead of using the current, correct Adoption TANF determination.
17	Adoption TANF Redeterminations Due Report	153	Change will involve adding exclusionary criteria to current reporting population to not pull in children who were Ineligible on the Adoption TANF.
18	All Reports involving Adoptions Finalized	523	Modify how data is pulled in the "Adoption Finalized by Intervals" reports. Approximately 10 and 15 reports will need to be modified.
19	Eligibility Exceptions Report Listing	263	Modifying logic to account for receiving MCFE and MCFN for Eligibility Status Title IV-E.

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#	Title	Eligibility LOE (hours)	Descriptions
20	Interim Eligibility Determinations Due Report	484	This creates an entirely new Interim Eligibility Determinations Due Report.
	Total Estimated Hours	38,082	

Exhibit VI–4: Eligibility Level of Effort Requirements

#	Title	Independent Living LOE (hours)	Descriptions
1	Title IV-E Independent Living (New Page)	4,272	This is a brand-new page for IL Title IV-E FC Eligibility.
2	Transition Plan (Independent Living - Young Adult Case Plan Worksheet Page)	2,391	Add Transition Plan tab on the Young Adult Case Plan Worksheet page, which is created from the IL page. This estimate includes updating the Young Adult Court Involved Case Plan and the Young Adult Judicial Review templates. Finally, this estimate also accounts for the passing of data elements added to the new tab from the OLTP to the Data Warehouse and/ or Data Mart, if applicable.
3	New Case Note Type within the IL Case Note Category (Case Note Page)	482	Add Case Note Type within the IL Case Note Category on the Case Note Page.
4	Promote and/ or eliminate barriers for employment (Independent Living Page)	82	Modify data warehouse to incorporate barriers for employment information.
5	Credit Checks for Ages 14-23 (Person Management Page)	482	Add group box on a tab in Person Management which provides the ability to insert multiple credit checks, as well as the date of the credit check and a comments field. In addition, a new value would be added to the File Cabinet to upload the pdf results of the credit check.
6	AFCARS Changes	3,683	Make AFCARS changes related to IL. This will require identification of elements may require changes and performing regression tests and changes have been made.
7	Create IL Case (Maintain Case Page - new functionality similar to Split Case)	3,749	Add "Create IL Case" Option under Maintain Case. This new option would, for instance, move the last removal episode.
8	EFC and PESS Functionality (Independent Living Page)	1,170	Make changes to the existing design for these 2 pop-up pages (EFC and PESS).

#	Title	Independent Living LOE (hours)	Descriptions
9	OCAs for IL Eligibility (Maintain Service Type & Rate Page)	2,391	Add additional values on Maintain Service Type and Rate Page where the user documents the OCA for each Eligibility Status. The Eligibility Statuses available would need to include those from the new IL Eligibility page(s) and background processing needed for Payments.
	Total Estimated Hours	18,702	

Exhibit VI–5: Independent Living Level of Effort Requirements

#	Title	Guardianship LOE (hours)	Description
1	Guardianship Information (New Page)	3,859	Create new Guardianship Information Page.
2	Guardianship Assistance Agreement (New Page)	3,859	Create new Guardianship Assistance Agreement Page.
3	Guardianship Eligibility (New Page)	3,859	Create new Guardianship Eligibility Page.
4	ETLs (including Data Warehouse and Data Mart)	3,683	Extend data extracts and loads to support new Guardianship information.
5	BOE (Universes)	3,683	Extend data warehouse to support new Guardianship information.
6	Licensing (Existing Page)	3,859	Modify Licensing page and Licensing template to accommodate Guardianship information.
	Total Estimated Hours	22,803	

Exhibit VI–6: Guardianship Level of Effort Requirements

E. Capacity Planning

The FSFN system is currently being migrated to Amazon Web Services as the Cloud Platform to host this system which limits the availability of historical capacity data. It should be noted that one of the key benefits of moving to a cloud platform is the ability to dynamically adjust capacity.

VII. Schedule IV-B Project Management Planning

A. Project Charter

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

1. Program Name

This program is referred to as *FSFN Path Forward Initiatives*.

2. Purpose

To enhance the current child welfare system through the selection of a model that meets the collective goals to become a more data-centric system, to deliver efficient and effective outcomes with increased accountability, and to improve the technology available to the Florida child welfare community.

The project supports the alignment and compliance with the federal elimination of the Title IV-E waiver, and helps make an informed decision on electing to replace SACWIS with CCWIS requirements for child welfare information systems. These federal regulations support the Department's overall objective to work in partnership with local communities to protect the vulnerable, promote strong and economically self-sufficient families, and advance personal and family recovery and resiliency.

3. Objectives

This project objective is to update FSFN and align with new federal standards for continuation of federal funding, and in some cases, maximize federal funding for implementing CCWIS and expanding Title IV-E funding.

4. Project Phases

The project consists of three initiatives which are:

- Support Services (PMO, IV&V, OCM, Training)
- CCWIS Planning Initiative (deliverable to align FSFN or next FSFN with CCWIS requirements)
- "Path Forward" (Eligibility, Guardianship, EFC\IL)

It is expected to take 18 months to implement all the initiatives for this project. The support services of PMO, OCM, IV&V, and Training will span the entire 18 months of the "Path Forward" design, development and Implementation (DDI) work. The overall project planning and implementation based upon the business need or technical complexity is depicted below in Exhibit VII-5.

The Department initiated planning during SFY 2017-2018 (Year 0) to advance the planning effort and position the state to complete and implement the project in alignment with federal regulations. Tasks that will be completed in Year 0 include the development and submission of the Advance Planning Documents (APD), decision on election of CCWIS, as well as the Pre-DDI work for "Path Forward" initiatives. This planning phase in Year 0 will determine the project organization structure, the list of roles and responsibilities, and the list of expected CCWIS planning deliverables and due dates.

In Year 0, the Department will complete the planning phase and will begin the development of system improvements. The elements of the planning phase include submission of the Advanced Planning Document (APD) for federal approval, submission of waivers, establishment of committees and business team members (i.e., Communications Committee, subject matter experts), procurement, and the initiation of project management. Year 1 and Year 2 will support the Design, Build, Test, and Implementation of the "Path Forward" initiative for a projected launch of December 2019.

The CCWIS planning initiative, also taking place in Year 1 and Year 2, is needed to fully assess the Department's scope of opportunity with aligning FSFN and the associated business processes to the new CCWIS Requirements. This assessment will engage in business process re-engineering and evaluation, return on investment (ROI) analysis, requirements gathering, organizational change management (OCM) activities, federal document preparation, and stakeholder engagement. Involving all stakeholders in the assessment, especially Florida's extensive child welfare

community, DCF will be positioning itself for success and betterment for the children and families being served.

5. Project Management

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

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

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

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

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

6. Project Scope

The scope of this project will include a requirements development effort as well as the design, development, testing, and statewide implementation of an updated business system to support DCF functional and technical areas across the child welfare system. The table below summarizes the activities to support the *FSFN Path Forward Initiatives*.

Activity	Description
Analyze	Validation of the system requirements and gathering efforts.
Design	Joint Application Design sessions with end users, functional and technical design documentation, and user interface prototyping.
Build	Application configuration and system development, database development, data conversion, data migration, data warehouse development, file extract, report creation, unit testing, creation of help screens and development of an online user tutorial.
Test	Creation of test plans and test cases for integration testing, system testing, user acceptance testing, and regression testing.

Activity	Description
Deploy	Implementation planning and the deployment of the new system to a production environment.
Operations	Begins during the system implementation phase. The emphasis of this phase will be to ensure the necessary equipment, staff, and procedures are in place to meet the needs of end users and ensure the system will continue to perform as specified.

Exhibit VII–1: System Enhancement Activities

7. Project Deliverables

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

Name	Deliverable Description
Project Management Status Reports	Provides weekly status reports to project management team.
Risk and Issue Registers	Prioritizes lists of risks and issues identified and reviewed during the project.
Meeting Minutes	Records decisions, action items, issues, and risks identified during formal stakeholder meetings.
Project Charter	Formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.
Project Management Plan	Includes the following documents as required by the DCF Project Director and/or the PMO: - Work Breakdown Structure - Resource Loaded Project Schedule - Change Management Plan - Communication Plan - Document Management Plan - Scope Management Plan - Quality Management Plan - Risk Management Plan - Risk Response Plan - Issue Management Plan - Resource Management Plan - Conflict Resolution Plan - Baseline Project Budget
Project Communication Plan	Provides a documented framework for proactively communicating to relevant stakeholders about proposed changes, and monitoring and responding to events which may occur prior to system implementation.
As-Is Business Process Flows	Represents, graphically, the current state of business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business Process Flows	Represents the future state of business processes, as reengineered by the FSFN vendor in conjunction with DCF subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.

Name	Deliverable Description
Business Process Re-Engineering Plan	Plan that defines potential business process changes and how those changes are to be implemented.
Return on Investment (ROI) Analysis	Financial impact analysis for calculating ROI on proposed changes identified during the CCWIS planning initiative.
CCWIS Functional and Technical Requirements	Functional and technical requirements determined for implementing CCWIS.
Schedule IV-B	Schedule IV-B for future funding request to implement the CCWIS solution identified through the CCWIS planning initiative.
Technical Design Specification	Details the technical design for data and information processing in the new business system to include: • Data Model/ERD • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system integrator's design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design, to include detailed data conversion mapping.
Knowledge Transfer Plan	Details the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation.
Organizational Change Management (OCM) Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Provides weekly status reports to project management team.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.
Training Plan	Defines the objectives, scope, curriculum, and approach for train the trainer as well as training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to "go live" with the project and identifies action plans to remedy any lack of readiness.
Data Migration Plan	Plan for migration of data from existing systems to new databases (as required).
Test Plans	Details the plan for unit testing, system testing, load testing, and user acceptance testing.
Test Cases	Documents the set of actions to be performed within the system to determine whether all functional requirements have been met.

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Name	Deliverable Description
Implementation Plan	Details steps for implementing the new business system statewide.
Functional Business System	Provides final production version of the new business system.
System Operation and Maintenance Plan	Details plan for how the finished system will be operated and maintained.

<p align="center">Exhibit VII–2: Project Deliverables</p>

8. Project Milestones

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

Milestone	Deliverable(s) to Complete
Legislative Approval	• Updated Schedule IV-B
Federal Funding Approval	• Advance Planning Document
Project Kick-Off	• Project Charter
Project Management Documents Completed	• Various (See deliverable list)
Business Process Analysis Completed	• As-Is Business Process Flows • To-Be Business Process Flows
Acceptance of Functional and Technical Requirements	• System Requirements Document
Project Management Documents Completed	• Various (See deliverable list)
Acceptance of Validated Requirements	• Validated Functional Requirements Document
Acceptance of User Interface Prototypes	• User Interface Prototypes
Acceptance of Functional and Technical Design Specifications	• Functional and Technical Design Specification documents
CCWIS Financial Cost Benefit Analysis Complete	• CBA for CCWIS Implementation Financial Impacts
CCWIS Planning Complete	• Acceptance of CCWIS Planning Deliverables
User Acceptance Testing Complete	• User Acceptance Testing Complete Acceptance • Change Authorization Board Acceptance
Training Complete	• Training sessions • Training materials

Milestone	Deliverable(s) to Complete
System Deployment	• Functional system released into production
Extract of Mandatory File	• Extract file(s) accepted by ACF
Project Close-out	• Lessons Learned • Knowledge Transfer • Contract Compliance Checklist • Project Close-out Checklist

Exhibit VII–3: Project Milestones and Go/No-Go Decision Points

9. General Project Approach

The following activities are required to finish the *FSFN Path Forward Initiatives* project:

1. Submit a Legislative Budget Request
2. Develop the procurement strategy
3. Prepare federal Advance Planning Document
4. Execute the project
5. Monitor and control the project
6. Develop and Test the proposed solution as described in the Technology Planning section
7. Implement the proposed solution
8. Conduct Organizational Change Management and Communications activities
9. Develop and Conduct Training
10. Deploy the system to trained users who are fully prepared to use the new system and are supported by on-screen help
11. Conduct knowledge transfer
12. Continue operations, administration and support of the system through the warranty period
13. Close Out the project
14. Operate and enhance the system throughout its service life

10. Change Request Process

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

Upon acceptance of the change request and its validation by the PMO, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned and the request will be scheduled accordingly. Exhibit VII-4 illustrates the proposed change request process.
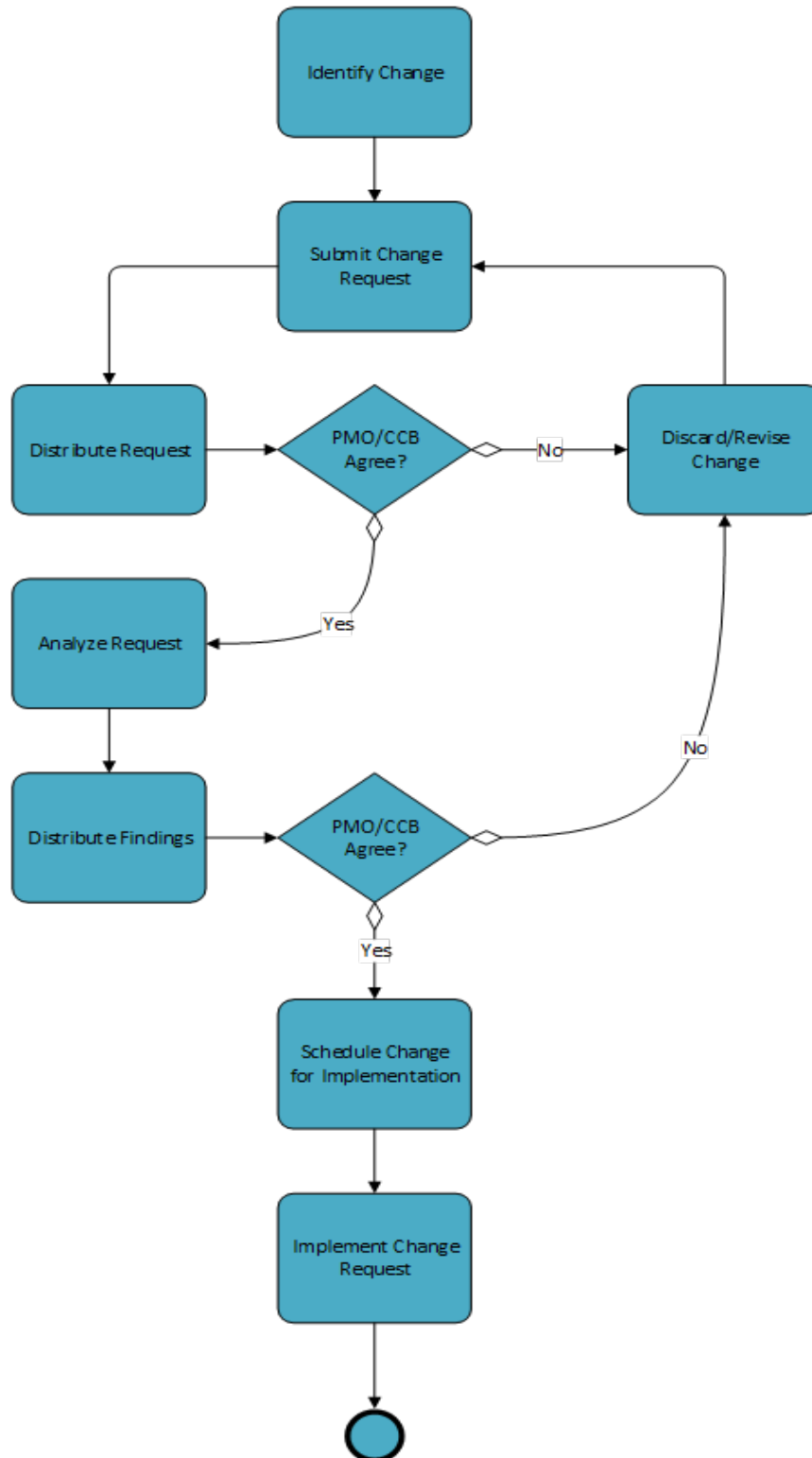
Exhibit VII–4: Project Change Request Process

B. Project Schedule

The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the DCF Project Manager and systems integrator vendor. The figure below represents the proposed high-level project schedule which reflects the planned 18-month approach for the *FSFN Path Forward Initiative*.

Year 0 (17-18)						Year 1 (18-19)												Year 2 (19-20)												Year 3 (20-21)
Q3			Q4			Q1			Q2			Q3			Q4			Q1			Q2			Q3			Q4			
Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	July - June
Week						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 - 36

Within the schedule body (spanning Year 1–Year 2):
- PMO
- IV&V
- Training \ OCM

| Notice of Intent + APD - CCWIS Election | RFQ for CCWIS Planning Vendor | CCWIS Planning (APD, Schedule IV-B Feasibility Study, Requirements, Business Process Flow Assessment, ROI) | Schedule IV-B for "CCWIS Changes" | | APD Approval by ACF | CCWIS Operations |

| | Path Forward Pre-DDI | Path Forward - Design, Build, Test, and Implementation | | | |

Exhibit VII–5: High-Level Project Schedule

C. Project Organization

The DCF Project Management Team will be headed by the DCF Project Director and will include the Vendor Project Manager. This team will be responsible for day-to-day oversight of the project.

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

The project business stakeholders include seasoned DCF staff, CBC staff, and other state and federal officials from the program's core business areas. These key stakeholders will be instrumental in the design, development and testing of the new business system and will assist in the review and approval of all project deliverables.
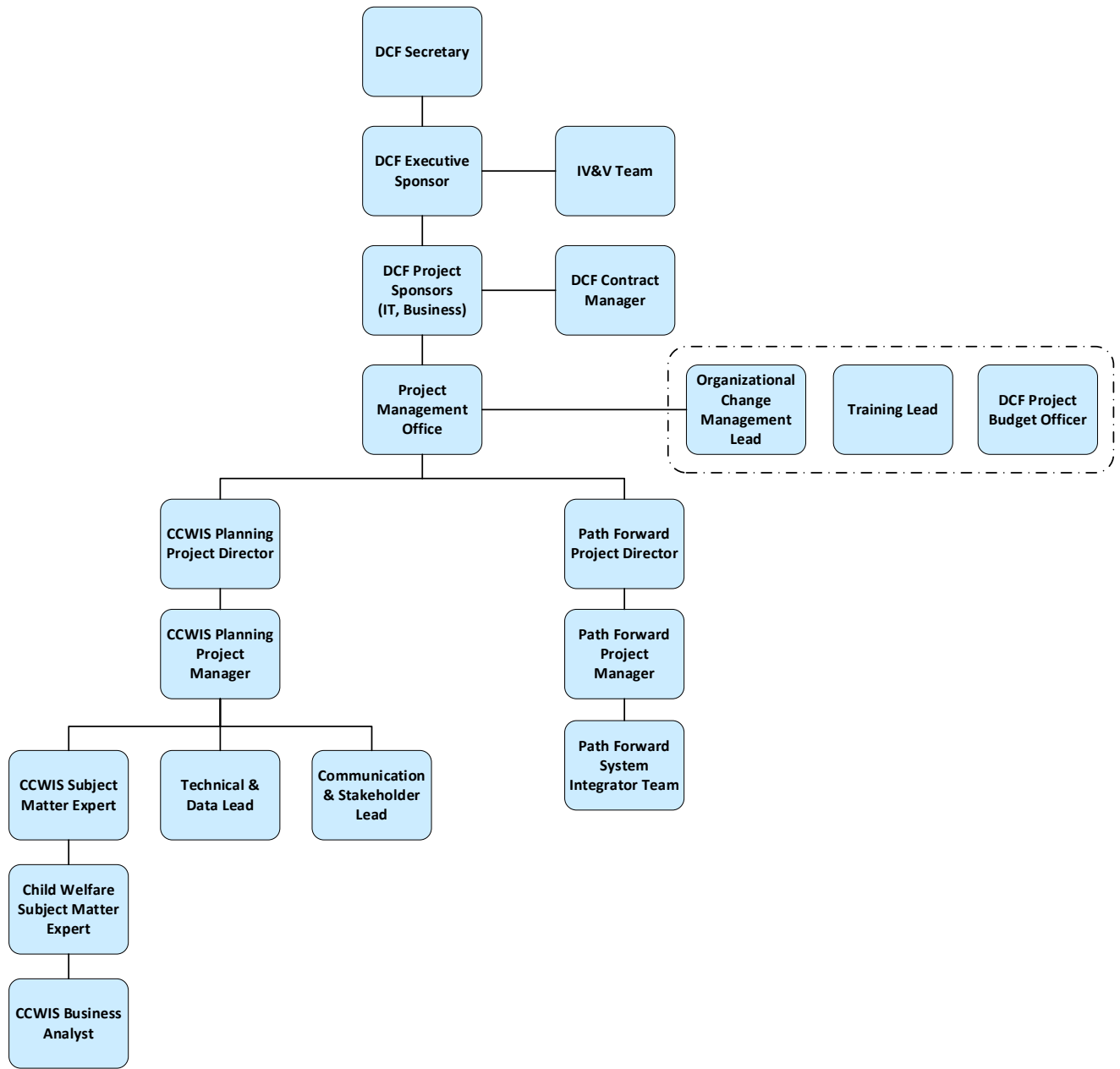
Exhibit VII–6: Proposed Project Organization

The following table, Exhibit VII-7, identifies roles in the project organization and a summary of the responsibilities. Roles and responsibilities will be defined and agreed to during the project planning phase.

Role Name	Description	Assigned To
Executive Sponsor	• Provides executive oversight to the project • Acts as final escalation for all issue resolution • Directs governance	DCF Secretary or Designee
Project Business Sponsor	• Provides programmatic decision-making authority • Champions the project within the customer's organization • Provides guidance on overall strategic direction • Provides business resources for project success • Provides Programmatic responsibility for successful development and implementation of the project	DCF
Project IT Sponsor	• Has IT decision making authority • Champions the project within the customer's organization • Provides guidance on overall strategic direction • Provides IT resources for project success • Responsible for successful development and implementation of the project • Facilitates communication with the EMT	DCF IT Director
Project Budget Officer	• Controls project budget • Provides budget related input into project scope and contract change decision making process	TBD
Project Director	• Has overall responsibility for the successful development and implementation of the project • Oversees the development and implementation of the project • Oversees the Project Management Office for the project • Liaisons with IT Sponsor for resources • Liaisons with Project Business Sponsor for business resources and day-to-day activities	DCF Designee
Project Manager	• Responsible for day-to-day project oversight • Provides overall guidance and direction to the System Integrator • Coordinates with the Project Director for resources • Works with System Integrator Project Manager to ensure stakeholder needs are met • Has daily decision-making authority • Oversees and manages project plan • Facilitates the Business Stakeholders Committee • Coordinates project resources, budgets and contract management • Reviews and provides feedback on project deliverables • Responsible for project management areas including scope, risk, quality and change control • Coordinates project status communications • Liaisons with external agencies as needed	TBD

Role Name	Description	Assigned To
Project Business Stakeholders Committee (*Group of internal and external stakeholders from DCF and other agencies.*)	• Provides input on functional requirements • Participates in project user group meetings and sessions • Provides input on project activities • Reviews and comments on project documents and deliverables • Disseminates project information and updates to local internal/external stakeholders	TBD
Systems Integrator (SI) Project Manager	• Reports to the Project Director • Works with the Project Management Office to seek guidance and direction; • Responsible for systems integrator project management activities • Leads the planning and development of project deliverables • Develops and manages the project schedule and associated tasks • Maintains all project documentation including detailed project plan • Ensures adherence to the process and project management standards and guidelines • Responsible for project management areas including scope, risk, quality and change control • Prepares formal project reports and presentations • Ensures deliverables conform to DCF standards • Facilitates project related meetings as required	Systems Integrator Vendor

Exhibit VII–7: Project Organization Members - Roles & Descriptions

D. Project Quality Control

The project will follow the PMO guidelines delineating timeline, budget, and quality specifications for each deliverable. Each deliverable will be assigned detailed acceptance criteria in the project contract, for each imitative within the project. 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 will follow DCF's programming and development standards.
Testing Management	The vendor will follow the established standards of the DCF PMO for Testing Management. This includes unit testing, integration testing, system testing, load testing, and user acceptance testing.
Approval	All deliverables will require individual stakeholder approval and sign-off upon completion of the final draft.
Software Configuration Management	If applicable, the vendor will follow the established standards of the DCF PMO for Software Configuration Management. This includes Stakeholder sign-off, documentation, and version control.
Contract Management	The DCF PMO will be involved in contract management. All contracts must pass executive and legal approval.

Exhibit VII–8: Quality Standards by Project Area

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

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

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

E. External Project Oversight

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

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

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

F. Risk Management

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

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

All phases of the project will follow the standards defined by the PMO. Standards include processes, templates, and procedures for documenting and mitigating risk.

A Risk Management Plan (RMP) will be developed and adhered to throughout all phases of the project. The RMP will include clear risk management procedures including standard checkpoints and mitigation strategies. Execution of a well-defined RMP with clear mitigation strategies for each risk is critical to the success of the *FSFN Path Forward Initiatives* project. It is recommended the following checkpoints be followed during the project:

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

Exhibit VII–9: Project Risk Checkpoints

G. Organizational Change Management

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 to result from automating existing manual processes, and the breadth of new data to be captured and reported upon. Throughout the *FSFN Path Forward Initiatives* project, OCM will be effectively implemented through communication, awareness, and training.

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

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

- Description of roles, responsibilities, and communication between vendor and customer
- To-be process maps including a role oriented flowchart (swim lane view) of the organization
- Skill/Role gap analysis between the existing system and the proposed system
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum
- OCM Communication Plan
- Overview of Changes, (Why this, Why Now?)
- As-Is Current State, To-Be Future State, Policy Changes, Practice Changes, Tool Changes, Data and Reporting changes
- Exception Handling, Stakeholder Analysis, Communication Phases
- Communications Matrix of Activities
- Implementation Readiness Assessment
- Readiness Assessment Reporting Process

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

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

H. Project Communication

All phases of the *FSFN Path Forward Initiatives* project will use communication methods proven to be effective on large-scale IT implementations, and will follow the standards developed by the PMO. These will include a communication plan, a formal project kick-off meeting, status meetings, milestone reviews, adoption of methodology in defining roles, responsibilities and quality measures of deliverables, regular status reports, regular

review and evaluation of project issues and risks, periodic project evaluation, regular system demonstrations and reviews, and a project artifact repository.

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

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

VIII.   Appendices

1. Requirements for CCWIS Compliance

#	Requirements Description	Status	Notes
Requirements for CCWIS Compliance			
	(a) Efficient, economical, and effective requirement. The title IV–E agency's CCWIS must support the efficient, economical, and effective administration of the title IV–B and IV–E plans pursuant to section 474(a)(3)(C)(iv) of the Act by:		
1	(1) Improving program management and administration by maintaining all program data required by federal, state or tribal law or policy;	Currently Being Met	This is a subjective requirement which can be written to in the APD submission for consideration by ACF.
2	(2) Appropriately applying information technology;	Currently Being Met	This is a subjective requirement which can be written to in the APD submission for consideration by ACF.
3	(3) Not requiring duplicative application system development or software maintenance; and	Not Currently Being Met (Technical), Required	As discovered in the FSFN System Adoption Initiative, child welfare stakeholders use ancillary systems to record data. While DCF does not require CBCs to perform duplicative data entry, many do so to better meet their operational needs.
4	(4) Ensuring costs are reasonable, appropriate, and beneficial.	Currently Being Met	This is a subjective requirement which can be written to in the APD submission for consideration by ACF.
	(b) CCWIS data requirements. The title IV–E agency's CCWIS must maintain:		
5	(1) Title IV–B and title IV–E data that supports the efficient, effective, and economical administration of the programs including:	N/A	Note: As part of this analysis, the Department will be requesting funding from state and federal agencies to enhance IV-E eligibility to meet user requirements.
6	(i) Data required for ongoing federal child welfare reports;	Currently Being Met	DCF is currently meeting this requirement, however, DCF needs to update FSFN to accommodate collection and submission of AFCARS data, and to accommodate the Title IV-E waiver elimination, both in 2019. If DCF does not update the system to capture the new, required data elements, the system will be out of compliance at that point in time. These are the federal child welfare reports currently submitted by DCF: AFCARS; NCANDS; NYTD; Title IV-E Programs Quarterly Financial (CB-496); Monthly Caseworker Visits Report; CFSP Report; APSR Report.
7	(ii) Data required for title IV–E eligibility determinations, authorizations of services, and expenditures under IV–B and IV–E;	Not Currently Being Met (Technical), Required	There are current high priority Change Requests in queue to collect accurate data for eligibility, authorization of services, and financials.

	Requirements for CCWIS Compliance		
#	Requirements Description	Status	Notes
8	(iii) Data to support federal child welfare laws, regulations, and policies; and	Currently Being Met	DCF is currently meeting this requirement, however, DCF needs to update FSFN to accommodate collection and submission of AFCARS data, and to accommodate the Title IV-E waiver elimination, both in 2019. If DCF does not update the system to capture the new, required data elements, the system will be out of compliance at that point in time. These are the federal child welfare reports currently submitted by DCF: AFCARS; NCANDS; NYTD; Title IV-E Programs Quarterly Financial (CB-496); Monthly Caseworker Visits Report; CFSP Report; APSR Report.
9	(iv) Case management data to support federal audits, reviews, and other monitoring activities;	Not Currently Being Met (Technical), Required	DCF will need to update FSFN to accommodate collection and submission of AFCARS data, and to accommodate the Title IV-E waiver elimination, both in 2019. If DCF does not update the system to capture the new, required data elements, the system will be out of compliance at that point in time.
10	(2) Data to support state or tribal child welfare laws, regulations, policies, practices, reporting requirements, audits, program evaluations, and reviews;	Not Currently Being Met (Non-Technical), Required	The FSFN system has the current capability of capturing this data, however there are business processes and technology modifications that need to be updated to eliminate inconsistency in usage. Also, if DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
11	(3) For states, data to support specific measures taken to comply with the requirements in section 422(b)(9) of the Act regarding the state's compliance with the Indian Child Welfare Act; and	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance.
12	(4) For each state, data for the National Child Abuse and Neglect Data System.	Currently Being Met	The federal NCANDS data capture is sufficient, and reporting is compliant.
	(c) Reporting requirements. The title IV–E agency's CCWIS must use the data described in paragraph (b) of this section to:		
13	(1) Generate, or contribute to, required title IV–B or IV–E federal reports according to applicable formatting and submission requirements; and	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance.
14	(2) Generate, or contribute to, reports needed by state or tribal child welfare laws, regulations, policies, practices, reporting requirements, audit and reviews that support programs and services described in title IV–B and title IV–E.	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance.

#	Requirements Description	Status	Notes
**Requirements for CCWIS Compliance**		
**(d) Data quality requirements.**		
15	(1) The CCWIS data described in paragraph (b) of this section must:	N/A	N/A
16	(i) Meet the most rigorous of the applicable federal, and state or tribal standards for completeness, timeliness, and accuracy;	Not Currently Being Met (Non-Technical), Required	Per the 2016 CFSR findings, the statewide information system (FSFN) is found to be an "area needing improvement," with regard to child-related data being entered accurately and in a timely manner. (Item 19)
17	(ii) Be consistently and uniformly collected by CCWIS and, if applicable, child welfare contributing agency systems;	Not Currently Being Met (Non-Technical), Required	DCF business processes need to be updated to instruct FSFN users to uniformly collect information.
18	(iii) Be exchanged and maintained in accordance with confidentiality requirements in section 471(a)(8) of the Act, and 45 CFR 205.50, and 42 U.S.C. 5106a(b)(2)(B)(viii) through (x) of the Child Abuse Prevention and Treatment Act, if applicable, and other applicable federal and state or tribal laws;	Currently Being Met	This is currently being met. Data integration with other systems needs to consistently perform to these standards, and could be outlined in a Data Quality plan.
19	(iv) Support child welfare policies, goals, and practices; and	Not Currently Being Met (Non-Technical), Required	Per the 2016 CFSR findings, the statewide information system (FSFN) is found to be an "area needing improvement," with regard to "practices for data collection were determined to vary across CBC agencies." (Item 19) Inconsistent data collection practices result in poor quality of data, and does not support OCW goals and Department core competencies.
20	(v) Not be created by default or inappropriately assigned.	Currently Being Met	Previous system updates to examine default values have been addressed via the state's response to the 2014 SARR findings. FSFN enhancements since 2014, and future CCWIS implementation, must continue to follow this requirement.
21	(2) The title IV–E agency must implement and maintain automated functions in CCWIS to:	N/A	N/A
22	(i) Regularly monitor CCWIS data quality;	Currently Being Met	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The system and processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA.
23	(ii) Alert staff to collect, update, correct, and enter CCWIS data;	Currently Being Met	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The system and processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA.

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<th colspan="4">Requirements for CCWIS Compliance</th>
#	Requirements Description	Status	Notes
24	(iii) Send electronic requests to child welfare contributing agency systems to submit current and historical CCWIS data to the CCWIS;	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The system and processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA. This would only be required IF FSFN needs to interface with any CWCA system to pull in CCWIS data.
25	(iv) Prevent, to the extent practicable, the need to re-enter data already captured or exchanged with the CCWIS; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The business processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA.
26	(v) Generate reports of continuing or unresolved CCWIS data quality problems.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The CCWIS data quality plan should include data quality standards and supporting technology to monitor and report on data quality problems.
27	(3) The title IV–E agency must conduct biennial data quality reviews to:	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The business processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA. The data quality plan should include the processes and technology needed to conduct these reviews. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
28	(i) Determine if the title IV–E agency and, if applicable, child welfare contributing agencies, meet the requirements of paragraphs (b), (d)(1), and (d)(2) of this section; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
29	(ii) Confirm that the bi-directional data exchanges meet the requirements of paragraphs (e) and (f) of this section, and other applicable ACF regulations and policies.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The technical design for bi-directional data exchanges elected by the Department will need to be approved by ACF.
30	(4) The title IV–E agency must enhance CCWIS or the electronic bi-directional data exchanges or both to correct any findings from reviews described at paragraph (d)(3) of this section.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.

**Requirements for CCWIS Compliance**
#	**Requirements Description**	**Status**	**Notes**
31	(5) The title IV–E agency must develop, implement, and maintain a CCWIS data quality plan in a manner prescribed by ACF and include it as part of Annual or Operational APDs submitted to ACF as required in 45 CFR 95.610. The CCWIS data quality plan must:	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. ROA's data quality should be considered in the context of this requirement. (Should include: timeliness, completeness, accuracy, consistency, data standards, data dictionary)
32	(i) Describe the comprehensive strategy to promote data quality including the steps to meet the requirements at paragraphs (d)(1) through (3) of this section; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. ROA's data quality should be considered in the context of this requirement. (Should include: timeliness, completeness, accuracy, consistency, data standards, data dictionary)
33	(ii) Report the status of compliance with paragraph (d)(1) of this section.	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
**(e) Bi-directional data exchanges.**
34	(1) The CCWIS must support efficient, economical, and effective bi-directional data exchanges to exchange relevant data with:	N/A	N/A
35	(i) Systems generating the financial payments and claims for titles IV–B and IV–E per paragraph (b)(1)(ii) of this section, if applicable;	Not Currently Being Met (Technical), Required	FSFN does currently not have a bi-directional data exchange component. This bi-directional data exchange is needed for ancillary financial systems to properly provide information electronically with FSFN.
36	(ii) Systems operated by child welfare contributing agencies that are collecting or using data described in paragraph (b) of this section, if applicable;	Not Currently Being Met (Technical), Required	FSFN does currently not have a bi-directional data exchange component. This bi-directional data exchange is needed for ancillary CBC systems to properly provide information electronically with FSFN.
37	(iii) Each system used to calculate one or more components of title IV–E eligibility determinations per paragraph (b)(1)(ii) of this section, if applicable; and	Currently Being Met	Eligibility is currently being calculated in FSFN so no bi-directional data exchange is needed, Upgrades proposed as part of the "Path Forward" Initiative are assumed to keep the calculation of eligibility within FSFN.
38	(iv) Each system external to CCWIS used by title IV–E agency staff to collect CCWIS data, if applicable.	Currently Being Met, Required	This is a future state consideration. It is currently being met because collection of CCWIS data would be completed within the FSFN system. This requirement pertains to DCF staff, not CWCA staff. Assumption: If DCF is still participating in NEICE pilot program, that information would need to be bi-directionally exchanged with CCWIS.

	Requirements for CCWIS Compliance		
#	Requirements Description	Status	Notes
39	(2) To the extent practicable, the title IV–E agency's CCWIS must support one bi-directional data exchange to exchange relevant data, including data that may benefit IV–E agencies and data exchange partners in serving clients and improving outcomes, with each of the following state or tribal systems:	N/A	Note: Items (2)(i)-(vi) do not currently have a bi-directional data exchange with FSFN. ACF understands the reality and potential challenges in implementing a bi-directional exchange with the below child welfare partners and systems. For this reason, "to the extent practicable" allows DCF the ability to outline a business case in the APD as to why the other system is not capable of an exchange or if the bidirectional exchange is not feasible, due to cost constraints of data exchange partners.
40	(i) Child abuse and neglect system(s);	Currently Being Met	This requirement is currently being met because this information is already captured within FSFN, therefore no bi-directional data exchange is needed.
41	(ii) System(s) operated under title IV–A of the Act;	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
42	(iii) Systems operated under title XIX of the Act including:	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
43	(A) Systems to determine Medicaid eligibility described in 42 CFR 433.111(b)(2)(ii)(A); and	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
44	(B) Medicaid Management Information Systems as defined at 42 CFR 433.111(b)(2)(ii)(B);	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
45	(iv) Systems operated under title IV–D of the Act;	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
46	(v) Systems operated by the court(s) of competent jurisdiction over title IV–E foster care, adoption, and guardianship programs;	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.

#	Requirements Description	Status	Notes
	**Requirements for CCWIS Compliance**		
47	(vi) Systems operated by the state or tribal education agency, or school districts, or both.	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
(f) Data exchange standard requirements. The title IV–E agency must use a single data exchange standard that describes data, definitions, formats, and other specifications upon implementing a CCWIS:			
48	(1) For bi-directional data exchanges between CCWIS and each child welfare contributing agency; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. This requirement should be coordinated with the required CCWIS data quality plan to ensure data maintains its integrity and meets the data exchange standards requirements. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
49	(2) For data exchanges with systems described under paragraph (e)(1)(iv) of this section.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. This requirement should be coordinated with the required CCWIS data quality plan to ensure data maintains its integrity and meets the data exchange standards requirements. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
(g) Automated eligibility determination requirements.			
50	(1) A state title IV–E agency must use the same automated function or the same group of automated functions for all title IV–E eligibility determinations.	Not Currently Being Met (Technical), Required	Guardianship and Extended Foster Care are not currently automated. These functions will need to be updated within FSFN to meet the automation functionality requirement.
51	(2) A tribal title IV–E agency must, to the extent practicable, use the same automated function or the same group of automated functions for all title IV–E eligibility determinations.	N/A	DCF is not classified as a Tribal Title IV-E agency.
(h) Software provision requirement.			
52	The title IV–E agency must provide a copy of the agency-owned software that is designed, developed, or installed with FFP and associated documentation to the designated federal repository within the Department upon request.	Not Currently Being Met (Technical), Required	This is a future state consideration. DCF would need to provide updated CCWIS modules as appropriate, per design requirements.
(i) Submission requirements.			
53	(1) Before claiming funding in accordance with a CCWIS cost allocation, a title IV–E agency must submit an APD or, if below the APD submission thresholds defined at 45 CFR 95.611, a Notice of Intent that includes:	N/A	N/A

#	Requirements Description	Status	Notes
	Requirements for CCWIS Compliance		
54	(i) A project plan of how the CCWIS will meet the requirements in paragraphs (a) through (h) of this section and, if applicable § 1355.54;	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
55	(ii) A list of all automated functions included in the CCWIS; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
56	(iii) A notation of whether each automated function listed in paragraph (i)(1)(ii) of this section meets, or when implemented will meet, the following requirements:	N/A	N/A
57	(A) The automated function supports at least one requirement of this section or, if applicable §1355.54;	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
58	(B) The automated function is not duplicated within the CCWIS or systems supporting child welfare contributing agencies and is consistently used by all child welfare users responsible for the area supported by the automated function; and	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. DCF should work directly with ACF to obtain guidance on automated functionality and respective funding.
59	(C) The automated function complies with the CCWIS design requirements described under § 1355.53(a), unless exempted in accordance with § 1355.53(b).	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. Current system updates are grandfathered in if transition deadline is met (July 31, 2018), future designs must meet design requirements.
60	(2) Annual APD Updates and Operational APDs for CCWIS projects must include:	N/A	N/A
61	(i) An updated list of all automated functions included in the CCWIS;	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
62	(ii) A notation of whether each automated function listed in paragraph (i)(2)(i) of this section meets the requirements of paragraph (i)(1)(iii)(B) of this section; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.

Florida Department of Children and Families
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	Requirements for CCWIS Compliance		
#	Requirements Description	Status	Notes
63	(iii) A description of changes to the scope or the design criteria described at § 1355.53(a) for any automated function listed in paragraph (i)(2)(i) of this section.	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
	(j) Other applicable requirements.		
64	Regulations at 45 CFR 95.613 through 95.621 and 95.626 through 95.641 are applicable to all CCWIS projects below the APD submission thresholds at 45 CFR 95.611.	Currently Being Met	These regulations should continue to be evaluated and detailed in ongoing APD submissions.

Exhibit VIII–1: Requirements for CCWIS Compliance

2. **Cost Benefit Analysis Worksheets**

CBAForm 1 - Net Tangible Benefits

Agency	Florida DCF	Project	FSFN Path Forward

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	FY 2017-18 (a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	FY 2018-19 (a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	FY 2019-20 (a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	FY 2020-21 (a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	FY 2021-22 (a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
A. Personnel Costs -- Agency-Managed Staff	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A.b Total Staff	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A-1.a. State FTEs (Salaries & Benefits)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-1.b. State FTEs (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	$0	0.00
A-2.a. OPS Staff (Salaries)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
A-2.b. OPS (#)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	$0	0.00
A-3.a. Staff Augmentation (Contract Cost)	0.00	$0	$0		$0	$0		$0	$0		$0	$0		$0	$0
A-3.b. Staff Augmentation (# of Contractors)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	$0	0.00
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 Programming	$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 Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
D. Plant & Facility Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E. Other Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-1. Training	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-2. Travel	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
E-3. Other Specify	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total of Recurring Operational Costs	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
F. Additional Tangible Benefits:															
F-1. Guardianship (GAP) Increased Federal Title IV-E Grant					$0			$1,035,000			$3,450,000			$3,450,000	
F-2. Extended Foster Care Increased Federal Title IV-E Grant					$0			$386,400			$1,288,000			$1,288,000	
F-3. Eligibility Increased Federal Title IV-E Grant					$0			$345,000			$1,150,000			$1,150,000	
Total Net Tangible Benefits:	$0	$0	$0	$0	$0	$0	$0	$1,766,400	$0	$0	$5,888,000	$0	$0	$5,888,000	$0

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	☐	Confidence Level	
Order of Magnitude		Confidence Level	
Placeholder	☐	Confidence Level	

	Florida DCF	FSFN Enhancements																						CBAForm 2A Baseline Project Budget	
	Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. **Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.**				FY2017-18			FY2018-19			FY2019-20			FY2020-21			FY2021-22			FY2022-23			TOTAL	
3					$ -																			$ 14,695,030	
4	**Item Description** *(remove guidelines and annotate entries here)*	**Project Cost Element**	**Appropriation Category**	**Current & Previous Years Project-Related Cost**	YR 0 #	YR 0 LBR	YR 0 Base Budget	YR 1 #2	YR 1 LBR	YR 1 Base Budget2	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	**TOTAL**
5	Costs for all state employees working on the project.	FTE	S&B	$ -	0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	$ -	0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ -
7	Staffing costs for personnel using Time & Expense.	Staff Augmentation	Contracted Services	$ -	0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ -
8	Project management personnel and related deliverables.	Project Management	Contracted Services	$ -	0.00	$ -		0.00 $ 565,760	$ -		0.00 $ 565,760	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ 1,131,520
9	Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables.	Project Oversight	Contracted Services	$ -	0.00 $ -	$ -		0.00 $ 282,880	$ -		0.00 $ 282,880	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ 565,760
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	$ -	0.00 $ -	$ -		0.00 $ 5,563,174	$ -		0.00 $ 3,191,376	$ -		0.00 $ -	$ -		0.00 $ -	$ -		0.00 $ -	$ -		$ 8,754,550
11	Separate requirements analysis and feasibility study procurements.	Project Planning/Analysis	Contracted Services	$ -	$ -	$ -		$ 1,591,200	$ -		$ 530,400	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ 2,121,600
12	Hardware purchases not included in data center services.	Hardware	OCO	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
13	Commercial software purchases and licensing costs.	Commercial Software	Contracted Services	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
14	Professional services with fixed-price costs (i.e. software development, installation, project documentation)	Project Deliverables	Contracted Services	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
15	All first-time training costs associated with the project.	Training	Contracted Services	$ -	$ -	$ -		$ 1,060,800	$ -		$ 1,060,800	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ 2,121,600
16	Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A.	Data Center Services - One Time Costs	Data Center Category	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
17	Other contracted services not included in other categories.	Other Services	Contracted Services	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
18	Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail)	Equipment	Expense	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
19	Include costs associated with leasing space for project personnel.	Leased Space	Expense	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
20	Other project expenses not included in other categories.	Other Expenses	Expense	$ -	$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -	$ -		$ -
21		Total		$ -	0.00 $ -	$ -		0.00 $ 9,063,814	$ -	$ -	$ 5,631,216	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -		$ 14,695,030

CBAForm 2 - Project Cost Analysis

Agency	Florida DCF	FSFN Path Forward

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)						TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
TOTAL PROJECT COSTS (*)	$0	$9,063,814	$5,631,216	$0	$0	$0	$14,695,030
CUMULATIVE PROJECT COSTS (includes Current & Previous Years' Project-Related Costs)	$0	$9,063,814	$14,695,030	$14,695,030	$14,695,030	$14,695,030	

Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B						TOTAL
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	
General Revenue	$0	$4,531,907	$2,815,608	$0	$0	$0	$7,347,515
Trust Fund	$0	$0	$0	$0	$0	$0	$0
Federal Match ☑	$0	$4,531,907	$2,815,608	$0	$0.00	$0	$7,347,515
Grants ☐	$0	$0	$0	$0	$0	$0	$0
Other ☐ Specify	$0	$0	$0	$0	$0	$0	$0
TOTAL INVESTMENT	$0	$9,063,814	$5,631,216	$0	$0	$0	$14,695,030
CUMULATIVE INVESTMENT	$0	$9,063,814	$14,695,030	$14,695,030	$14,695,030	$14,695,030	

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

Cost Benefit Analysis
CBAForm 3 - Project Investment Summary

| Agency | Florida DCF | FSFN Path Forward |

COST BENEFIT ANALYSIS -- CBAForm 3A						
	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	TOTAL FOR ALL YEARS
Project Cost	$0	($9,063,814)	($5,631,216)	$0	$0	$0	($14,695,030)
Discounted		($8,699,910)	($5,126,437)	$0	$0	$0	
Net Tangible Benefits	$0	$0	$1,766,400	$5,888,000	$5,888,000	$5,888,000	$19,430,400
Discounted		$0	$1,608,061	$4,971,615	$4,646,497	$4,113,413	
Return on Investment	$0	($9,063,814)	($3,864,816)	$5,888,000	$5,888,000	$5,888,000	$4,735,370
							$1,513,239
Cumulative Costs	$0	($9,063,814)	($14,695,030)	($14,695,030)	($14,695,030)	($14,695,030)	
Cumulative Benefits	$0	$0	$1,766,400	$7,654,400	$13,542,400	$19,430,400	
Cumulative ROI	$0	($9,063,814)	($12,928,630)	($7,040,630)	($1,152,630)	$4,735,370	
	N/M	N/M	N/M	N/M	N/M	0.195759171	
Discounted Return	0	(8,699,910)	(3,518,376)	4,971,615	4,646,497	4,113,413	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	4.20	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2022-23	Fiscal Year during which the project's investment costs are recovered.
ROI	32.22%	Return on investment is the measure of a project's net benefits relative to it's total costs.
Net Present Value (NPV)	$1,513,239	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	12.38%	IRR is the project's internal rate of return.

Investment Interest Earning Yield -- CBAForm 3C						
Fiscal Year	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%	6.16%

DCF Path Forward

Discounted Cash Flow Overview & Graph

	Cost Benefit Analysis					
	FY 2017-2018	FY 2018-2019	FY 2019-2020	FY 2020-2021	FY 2021-2022	FY 2022-2023
Discounted Benefits	$ -	$ -	$ 1,608,061	$ 4,971,615	$ 4,646,497	$ 4,113,413
Discounted Costs	$ -	$ (8,699,910)	$ (5,126,437)	$ -	$ -	$ -
Cumulative Benefits	$ -	$ (8,699,910)	$ (12,218,286)	$ (7,246,671)	$ (2,600,174)	$ 1,513,239

FSFN Path Forward Project
Discounted Cash Flows
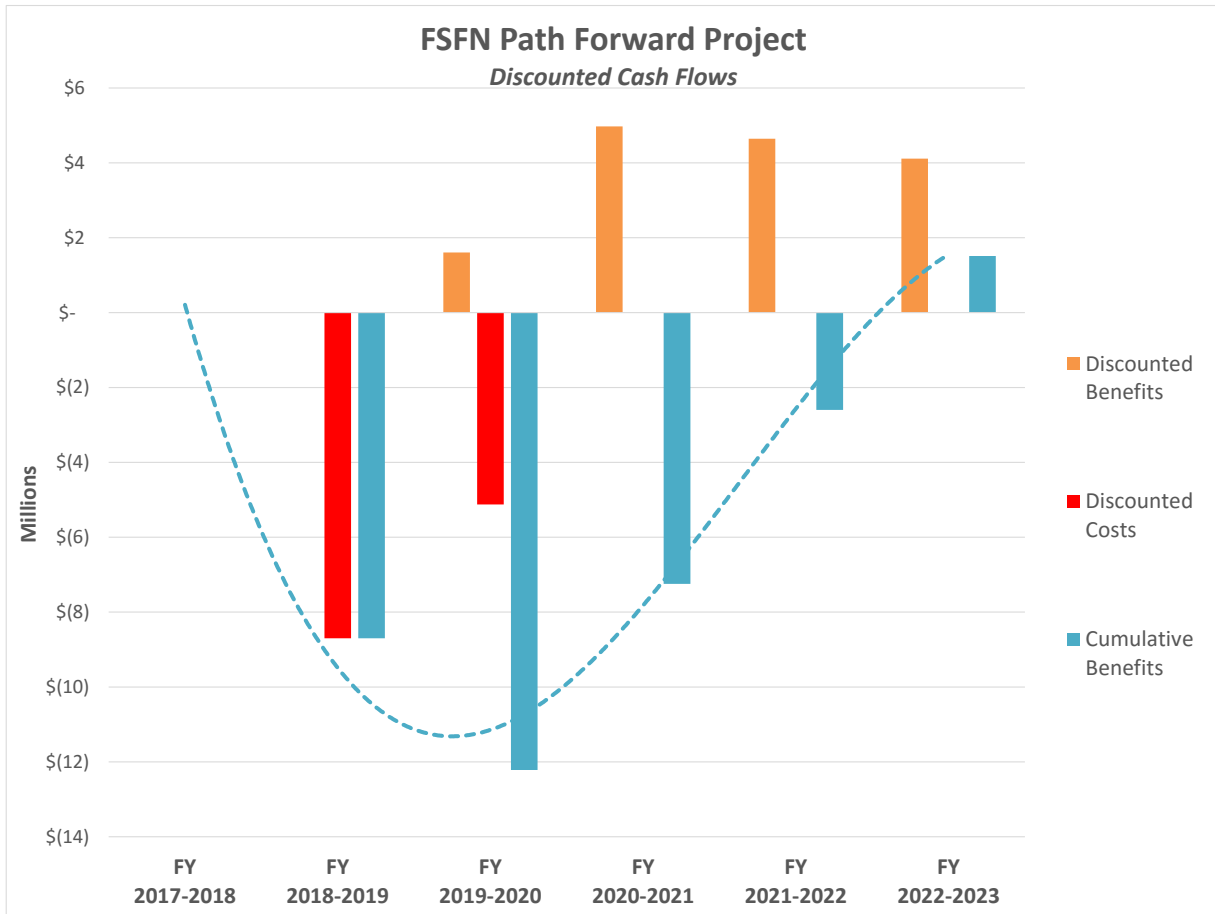
3. **FSFN Path Forward Initiatives Risk Assessment**

	B	C	D	E	F	G	H
3	**Project**			*Path Forward Schedule IV-B Project*			
4							
5	**Agency**			*Department of Children and Families*			
6	**FY 2018-19 LBR Issue Code:**			**FY 2018-19 LBR Issue Title:**			
7	*Issue Code*			*Issue Title*			
8	**Risk Assessment Contact Info (Name, Phone #, and E-mail Address):**						
9	*Arlisha Roberts ------ 850-717-4116 ------ arlisha.roberts @myflfamilies.com*						
10	**Executive Sponsor**			*JoShonda Guerrier*			
11	**Project Manager**			*Arlisha Roberts*			
12	Prepared By			*Scott Mildenberger*		*7/7/2017*	

Risk Assessment Summary

Business Strategy (vertical axis: Most Aligned at top, Least Aligned at bottom)

Level of Project Risk (horizontal axis: Least Risk at left, Most Risk at right)

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

	B	C	D	E
1	Agency: Department of Children and Families		Project: Path Forward Schedule IV-B Project	
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	Informal agreement 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 partially 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	41% to 80% -- Some 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 in concept only
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	Some
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	Moderate 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 Children and Families		Project: Path Forward Schedule IV-B Project	
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 for implementation and operations
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	No technology alternatives researched
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	Proposed technology solution is fully compliant with all relevant agency, statewide, or industry standards
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 defined only at a conceptual level
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 Children and Families		Project: Path Forward Schedule IV-B Project	
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	0% to 40% -- Few or no process changes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defiined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	No
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	Less than 1% 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	No
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	All or nearly all messages have success measures
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	\multicolumn{3}{|l|}{Agency: Department of Children and Families}		Project: Path Forward Schedule IV-B Project
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	No
6			No	
7	5.02	Have all project expenditures been identified in the Spending Plan?	0% to 40% -- None or few defined and documented	0% to 40% -- None or few 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 ±10%)	Placeholder – actual cost may exceed estimate by more than 100%
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	No
21			No	
22	5.07	Will/should multiple state or local agencies help fund this project or system?	Funding from single agency	Funding from other state agencies
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	Some project benefits have been identified but not 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	Procurement strategy has not been identified and documented
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	Timing of major hardware

	B	C	D	E
1	Agency: Department of Children and Families		Project: Path Forward Schedule IV-B Project	
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	and software purchases has not yet been determined
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 is the procurement 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	No selection criteria or outcomes have been identified
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	Procurement strategy has not been developed
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	Not applicable
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 Children and Families		Project: Path Forward Schedule IV-B Project	
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	Agency
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	Yes, business, functional or technical experts dedicated full-time, 100% 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	Minimal or no 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 Children and Families		Project: Path Forward Schedule IV-B Project	
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	Some
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	0% to 40% -- None or few 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	0% to 40% -- None or few 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	81% to 100% -- All or nearly all requirements and specifications 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	0% to 40% -- None or few 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	No
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints),	Yes	No

	B	C	D	E
1	Agency: Department of Children and Families		Project: Path Forward Schedule IV-B Project	
3			Section 7 -- Project Management Area	
4	#	Criteria	Values	Answer
35		critical milestones, and resources?	No	No
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	Some 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	No
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	Some have been defined and documented
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 Children and Families		Project: Path Forward Schedule IV-B Project	
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	More than 3 sites
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	Statewide or multiple agency 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	

4. **Gap Analysis Report**

FLORIDA DEPARTMENT OF CHILDREN AND FAMILIES

THE "NEXT GENERATION OF FSFN"

INTERMEDIATE DELIVERABLE: CCWIS GAP ANALYSIS

Date:	08/21/2017
Version:	011

TABLE OF CONTENTS

Revision History

DATE	AUTHOR	VERSION	CHANGE REFERENCE
07/11/2017	North Highland	001	Initial Draft
07/20/2017	North Highland	002	Revised Draft
07/20/2017	North Highland	003	Final Edits
08/06/2017	North Highland	004	Revision per DCF input
08/08/2017	North Highland	006	Revision per DCF input
08/10/2017	North Highland	008	Revisions with project updates
08/12/2017	North Highland	010	Revisions to update DED and sync with IV-B
08/21/2017	North Highland	011	Final revisions and QA

Quality Review

NAME	ROLE	DATE
North Highland Team	CCWIS Schedule IV-B Project Team	07/17/2017
North Highland Team	QA Team	07/20/2017
DCF Review Team	Deliverable Review	07/27/2017
North Highland Team	CCWIS Schedule IV-B Project Team	08/10/2017
North Highland Team	QA Team	08/13/2017

SECTION 1   EXECUTIVE SUMMARY

1.1   Purpose of Gap Analysis Report

The purpose of this *Gap Analysis Report* is to assist the Florida Department of Children and Families (DCF, Department) in understanding the current state of the child welfare information system and functions which are presently associated with the Florida Safe Families Network (FSFN). This current state analysis will be compared to Federal Regulation 45 CFR 1355.52 that outlines the threshold for a federally-compliant Comprehensive Child Welfare Information System (CCWIS) and what is needed to become CCWIS compliant, if desired. CCWIS is a case management information system which state and tribal Title IV-E agencies may develop to support their child welfare program needs.

Subsequent to this report, DCF will prioritize their system enhancements, and the respective roadmap, for improving their child welfare information system and functions to meet their five-year business needs, and make a correlating election to develop a federally-compliant CCWIS or continue with FSFN as non-CCWIS.

This document supports the development of the Schedule IV-B planning and budgeting document which will be submitted to the Florida Legislature to request project funding. This gap report also allows the Department to provide additional guidance and direction for their vision in their Schedule IV-B. The below graphic depicts the prescribed sections that comprise the State of Florida Schedule IV-B template.

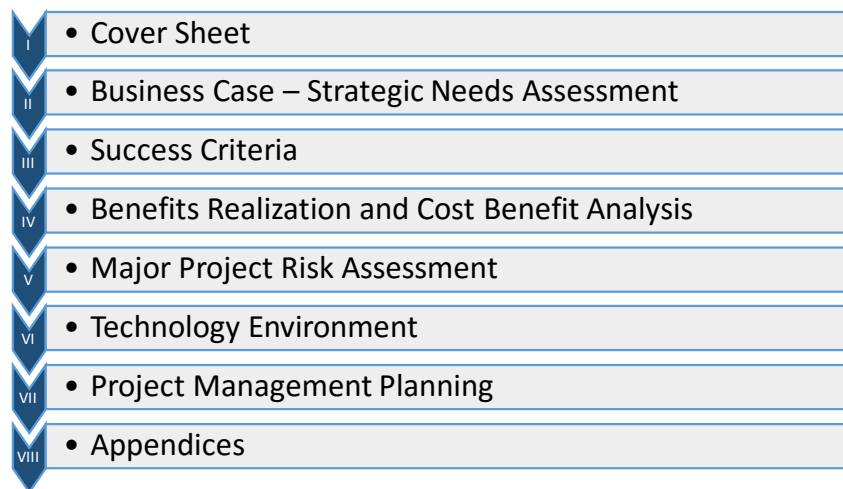|	
I	• Cover Sheet
II	• Business Case – Strategic Needs Assessment
III	• Success Criteria
IV	• Benefits Realization and Cost Benefit Analysis
V	• Major Project Risk Assessment
VI	• Technology Environment
VII	• Project Management Planning
VIII	• Appendices

Exhibit 1-1: State of Florida Schedule IV-B Outline

1.2   Business Need

The primary business need for this project is to: set DCF's path towards a child welfare information system which improves how DCF does its work, contributing to better outcomes for children and families; define DCF's vision for their future child welfare information system, and

create the Schedule IV-B documentation that will support the modernization needed to support the mission of the Department; and make an informed CCWIS election for the future.

Exhibit 1-2 below shows the alignment of the business needs with the proposed system enhancements. These enhancements are based on the Departments Change Requests, Federal Rule Changes and State Statutes, as well as the child welfare stakeholder needs/requests. The Department Change Requests include general programmatic changes, and/or technology changes needed to support business needs and regulatory requirements. These initiatives directly correlate with child welfare stakeholder's five-year business plan.

Project Purpose

To enhance the current child welfare system through the selection of a model that meets the collective goals to improve services for children and families, to become a more data-centric system, and to increase efficient and effective outcomes with increased accountability.

Business Needs

Data-Centricity	409.997 F.S. (ROA)	Improving Technology

Enhancements

Data-Centricity	409.997 F.S. (ROA)	Improving Technology
✓ AFCARS	✓ ROA Recommendations	✓ Eligibility

✓ Document Management & Workflow (Forms / Templates)	✓ FSFN Curriculum and Training	✓ Path Forward
		  o Guardianship
		  o Extended Foster Care/Independent Living

✓ Forms and Templates	✓ Efficiency Workgroup Recommendations
	  o Mobility / GIS / GPS
	  o Browser Agnostic
		✓ Financial Module

✓ Data & Reporting Elements		✓ Provider Module
✓ Security Enhancements		✓ Services Array

Exhibit 1-2: Business Needs Alignment with Enhancements

1.3   BUSINESS OBJECTIVE AND APPROACH

Child welfare responsibilities include statewide policy development for the Florida Abuse Hotline, child protective investigations and case management; the Interstate Compact for the Placement of Children; the Office of Child Care Regulation; domestic violence; Performance and Quality Management; child welfare information systems and strategic projects.

The child welfare stakeholder's measures of progress, objectives, interventions, and milestones include a comprehensive approach which align to the primary **goals**[1] as outlined in Section 2.2.

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1 Florida's Child and Family Services Plan 2015-2019

1.4 CONCLUSION

The conclusion is there are gaps between the current state and the desired future state in terms of people, processes and technology. The Department will need to decide which alternative to select in order to focus on an overall solution and complete the IV-B. The resulting information presented in this Gap Analysis Report will help the Department stakeholders make this decision.

SECTION 2 CURRENT STATE

This section provides documentation and review of the current technology infrastructure, relevant tools, stakeholder needs, data/metrics, current issues and pain points and any current constraints.

This section has been revised and aligned with the Department review comments and has been moved to Deliverable 2 - FSFN IV-B funding request. Please review the updated Gap Analysis Report Feedback spreadsheet for additional information on edits.

SECTION 3   THE FUTURE STATE

This section provides an initial vision of the future of the FSFN system based on input from leadership, industry best practices, comparisons with other states and potential future stakeholder needs.

This information has been revised and aligned with the Department review comments and has been moved to Deliverable 2 the FSFN IV-B funding request and has been further refined. Please review the updated Gap Analysis Report Feedback spreadsheet for additional information on edits.

SECTION 4   GAP ANALYSIS

This section provides an initial analysis of the gaps between the current-state and CCWIS requirements. This information will be refined further in Deliverable 2 including the gaps between the current-state and future-state direction.

Note: This is a point-in-time gap analysis of the CCWIS requirements outlined in federal law and Child Welfare functions with FSFN's current status. ACF has designed these requirements to be flexible for state's to interpret in their best interest. If the Department elects CCWIS, it is imperative that ACF be contacted for collaboration and approval of exact system changes and design, and validation of current system status. While North Highland can provide analysis, it is ACF that provides final approval. The status of FSFN has not been confirmed with ACF.

When these requirements were being analyzed, it was found there were several requirements which resulted as 'not currently being met'. This, in part, is because the Department has not had to previously evaluate and comply with CCWIS regulations. With the debut of CCWIS requirements there are new technological capabilities, and business policies and procedures considerations to be made. The status of these requirements should not necessarily be viewed as deficiencies in the current FSFN system or current child welfare stakeholder operations, but as new areas to consider moving forward with a CCWIS election.

4.1   FEDERAL CCWIS REQUIREMENTS

As part of the ACF's transition from SACWIS to CCWIS, ACF is aiming to allow states more flexibility in how their respective systems are constructed, with specific focus on modularity, data quality, and data sharing. This transition will allow for maximum benefit and flexibility as each state sees fit.

Increased flexibility for data interoperability between agencies will allow DCF to identify and determine what information technology solutions will best serve the needs of child welfare services across the state. Unlike the previous Statewide Automated Child Welfare Information System (SACWIS) requirements, which hindered the collection of child-related information from external sources and systems due to its monolithic nature, the CCWIS regulations mandate for a two-way data exchange between child welfare agencies and other critical agencies housing child related data, including Medicaid, courts, and schools, to the extent practicable.[2] In the Community-Based Care (CBC) environment throughout Florida, the application of bi-directional data exchanges could improve the quality of data available for federal and state reporting requirements. Due to the unique nature of Florida's system of care, which includes public and private sector involvement throughout the lifecycle of a case, data is not consistently entered in one location, but rather is often entered into ancillary systems and then manually re-entered into FSFN. CBCs having this level of data exchange will improve the Title IV-E eligibility determinations and improve the accuracy of financial and child welfare data transmitted to and shared with the DCF Central Office for federal reporting.

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[2] https://www.gpo.gov/fdsys/pkg/FR-2016-06-02/pdf/2016-12509.pdf

4.1.1 THE GAP FOR DCF TO BECOME CCWIS COMPLIANT

This section of the Intermediate Deliverable Gap Analysis analyzes the federally-designated CCWIS Requirements that must be met to be considered a CCWIS-compliant state. These requirements, and the analysis done, are based on current system functionality, not business processes and procedures. If DCF chooses to become CCWIS-compliant they will be subject to the below requirements. If DCF chooses not to be CCWIS-compliant, they are not subject to these requirements.

The CCWIS Requirements are broken down into the below main sections:

1. (a) Efficient, economical, and effective requirement
2. (b) CCWIS data requirements
3. (c) Reporting requirements
4. (d) Data quality requirements
5. (e) Bi-directional data exchanges
6. (f) Data exchange standard requirements
7. (g) Automated eligibility determination requirements
8. (h) Software provision requirement
9. (i) Submission requirements
10. (j) Other applicable requirements

When analyzing the gap between which requirements DCF is already meeting compared to those they would have to meet to become CCWIS-compliant, it was found to break down into four categories. These categories, as demonstrated in the chart, provide the corresponding status of each respective requirements.

- **Currently Being Met:** This category signifies that the Department is currently fulfilling the CCWIS requirement. Changes are not currently needed.

- **Not Currently Being Met (Technical), Required:** This category signifies that the Department is not currently meeting the CCWIS requirement, and must meet this requirement to be CCWIS-compliant. The requirements in this category are more technical in nature, potentially affecting FSFN.

- **Not Currently Being Met (Non-Technical), Required:** This category signifies that the Department is not currently meeting the CCWIS requirement, and must meet this requirement to be CCWIS-compliant. The requirements in this category are more related to business policies and procedures.

- **Not Currently Being Met, To the Extent Practicable:** This category signifies that the Department is not currently meeting the CCWIS requirement, and, if needed, should be able to justify this discrepancy through their annual APD's Business Case for impracticableness.

The below chart takes each of the official CCWIS Requirements, as defined in Federal Rule, and shows DCF's corresponding status to each respective requirement. This analysis is based on FSFN capabilities, not necessarily actual usage. The elections made here are based on

minimum requirements to be CCWIS compliant, and will have to be documented in the CCWIS election form and APD.

#	Requirements Description	Status	Notes
**Requirements for CCWIS Compliance**
(a) Efficient, economical, and effective requirement. The title IV–E agency's CCWIS must support the efficient, economical, and effective administration of the title IV–B and IV–E plans pursuant to section 474(a)(3)(C)(iv) of the Act by:
1	(1) Improving program management and administration by maintaining all program data required by federal, state or tribal law or policy;	Currently Being Met	This is a subjective requirement which can be written to in the APD submission for consideration by ACF.
2	(2) Appropriately applying information technology;	Currently Being Met	This is a subjective requirement which can be written to in the APD submission for consideration by ACF.
3	(3) Not requiring duplicative application system development or software maintenance; and	Currently Being Met	As discovered in the FSFN System adoption initiative child welfare stakeholders use ancillary systems to record data. However, DCF does not REQUIRE CBCs to perform duplicative data entry; it is their choice to do so.
4	(4) Ensuring costs are reasonable, appropriate, and beneficial.	Currently Being Met	This is a subjective requirement which can be written to in the APD submission for consideration by ACF.
(b) CCWIS data requirements. The title IV–E agency's CCWIS must maintain:
5	(1) Title IV–B and title IV–E data that supports the efficient, effective, and economical administration of the programs including:	N/A	Note: As part of this analysis, the Department will be requesting funding from state and federal agencies to enhance IV-E eligibility to meet user requirements.
6	(i) Data required for ongoing federal child welfare reports;	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance. These are the federal child welfare reports currently submitted by DCF: AFCARS; NCANDS; NYTD; Title IV-E Programs Quarterly Financial (CB-496); Monthly Caseworker Visits Report; CFSP Report; APSR Report.

#	Requirements Description	Status	Notes
	Requirements for CCWIS Compliance		
7	(ii) Data required for title IV–E eligibility determinations, authorizations of services, and expenditures under IV–B and IV–E;	Not Currently Being Met (Technical), Required	There are current high priority Change Requests in queue to collect accurate data for eligibility, authorization of services, and financials.
8	(iii) Data to support federal child welfare laws, regulations, and policies; and	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance. These are the federal child welfare reports currently submitted by DCF: AFCARS; NCANDS; NYTD; Title IV-E Programs Quarterly Financial (CB-496); Monthly Caseworker Visits Report; CFSP Report; APSR Report.
9	(iv) Case management data to support federal audits, reviews, and other monitoring activities;	Not Currently Being Met (Technical), Required	There is case management data related for CFSR reports that is not currently captured in FSFN.
10	(2) Data to support state or tribal child welfare laws, regulations, policies, practices, reporting requirements, audits, program evaluations, and reviews;	Not Currently Being Met (Non-Technical), Required	The FSFN system has the current capability of capturing this data, however there are business processes that need to be updated to eliminate inconsistency in usage. Also, if DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance.
11	(3) For states, data to support specific measures taken to comply with the requirements in section 422(b)(9) of the Act regarding the state's compliance with the Indian Child Welfare Act; and	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance.

#	Requirements Description	Status	Notes
**Requirements for CCWIS Compliance**
12	(4) For each state, data for the National Child Abuse and Neglect Data System.	Currently Being Met	The federal NCANDS data capture is sufficient, and reporting is compliant.
(c) Reporting requirements. The title IV–E agency's CCWIS must use the data described in paragraph (b) of this section to:
13	(1) Generate, or contribute to, required title IV–B or IV–E federal reports according to applicable formatting and submission requirements; and	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance.
14	(2) Generate, or contribute to, reports needed by state or tribal child welfare laws, regulations, policies, practices, reporting requirements, audit and reviews that support programs and services described in title IV–B and title IV–E.	Currently Being Met	The Department is currently meeting this requirement. If DCF does not update the system to accommodate collection and submission of AFCARS data by October 2019 then they would be out of compliance.
(d) Data quality requirements.
15	(1) The CCWIS data described in paragraph (b) of this section must:	N/A	N/A
16	(i) Meet the most rigorous of the applicable federal, and state or tribal standards for completeness, timeliness, and accuracy;	Not Currently Being Met (Non-Technical), Required	This is currently not being met, per the 2016 CFSR. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
17	(ii) Be consistently and uniformly collected by CCWIS and, if applicable, child welfare contributing agency systems;	Not Currently Being Met (Non-Technical), Required	DCF business processes need to be updated to instruct FSFN users to uniformly collect information.

#	Requirements for CCWIS Compliance		
	Requirements Description	**Status**	**Notes**
18	(iii) Be exchanged and maintained in accordance with confidentiality requirements in section 471(a)(8) of the Act, and 45 CFR 205.50, and 42 U.S.C. 5106a(b)(2)(B)(viii) through (x) of the Child Abuse Prevention and Treatment Act, if applicable, and other applicable federal and state or tribal laws;	Currently Being Met	This is currently being met. Data integration with other systems needs to consistently perform to these standards, and could be outlined in a Data Quality plan.
19	(iv) Support child welfare policies, goals, and practices; and	Not Currently Being Met (Non-Technical), Required	According to the 2016 CFSR, "practices for data collection were determined to vary across CBC agencies." Therefore, inconsistent data collection practices result in poor quality of data and does not support OCW goals and Department core competencies.
20	(v) Not be created by default or inappropriately assigned.	Not Currently Being Met (Technical), Required	According to the 2014 SARR, FSFN currently contains default fields settings.
21	(2) The title IV–E agency must implement and maintain automated functions in CCWIS to:	N/A	N/A
22	(i) Regularly monitor CCWIS data quality;	Currently Being Met	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The system and processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA.
23	(ii) Alert staff to collect, update, correct, and enter CCWIS data;	Currently Being Met	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The system and processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA.

#	Requirements Description	Status	Notes
Requirements for CCWIS Compliance			
24	(iii) Send electronic requests to child welfare contributing agency systems to submit current and historical CCWIS data to the CCWIS;	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The system and processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA. This would only be required IF FSFN needs to interface with any CWCA system to pull in CCWIS data.
25	(iv) Prevent, to the extent practicable, the need to re-enter data already captured or exchanged with the CCWIS; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The business processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA.
26	(v) Generate reports of continuing or unresolved CCWIS data quality problems.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The CCWIS data quality plan should include data quality standards and supporting technology to monitor and report on data quality problems.
27	(3) The title IV–E agency must conduct biennial data quality reviews to:	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The business processes will need to be modified to meet this requirement, in coordination with the required CCWIS data quality plan, and ROA. The data quality plan should include the processes and technology needed to conduct these reviews. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
28	(i) Determine if the title IV–E agency and, if applicable, child welfare contributing agencies, meet the requirements of paragraphs (b), (d)(1), and (d)(2) of this section; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.

#	Requirements Description	Status	Notes
	Requirements for CCWIS Compliance		
29	(ii) Confirm that the bi-directional data exchanges meet the requirements of paragraphs (e) and (f) of this section, and other applicable ACF regulations and policies.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. The technical design for bi-directional data exchanges elected by the Department will need to be approved by ACF.
30	(4) The title IV–E agency must enhance CCWIS or the electronic bi-directional data exchanges or both to correct any findings from reviews described at paragraph (d)(3) of this section.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
31	(5) The title IV–E agency must develop, implement, and maintain a CCWIS data quality plan in a manner prescribed by ACF and include it as part of Annual or Operational APDs submitted to ACF as required in 45 CFR 95.610. The CCWIS data quality plan must:	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. ROA's data quality should be considered in the context of this requirement. (Should include: timeliness, completeness, accuracy, consistency, data standards, data dictionary)
32	(i) Describe the comprehensive strategy to promote data quality including the steps to meet the requirements at paragraphs (d)(1) through (3) of this section; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. ROA's data quality should be considered in the context of this requirement. (Should include: timeliness, completeness, accuracy, consistency, data standards, data dictionary)
33	(ii) Report the status of compliance with paragraph (d)(1) of this section.	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
	(e) Bi-directional data exchanges.		
34	(1) The CCWIS must support efficient, economical, and effective bi-directional data exchanges to exchange relevant data with:	N/A	N/A

Requirements for CCWIS Compliance
#	Requirements Description	Status	Notes
35	(i) Systems generating the financial payments and claims for titles IV–B and IV–E per paragraph (b)(1)(ii) of this section, if applicable;	Not Currently Being Met (Technical), Required	FSFN does currently not have a bi-directional data exchange component. This bi-directional data exchange is needed for ancillary financial systems to properly provide information electronically with FSFN.
36	(ii) Systems operated by child welfare contributing agencies that are collecting or using data described in paragraph (b) of this section, if applicable;	Not Currently Being Met (Technical), Required	FSFN does currently not have a bi-directional data exchange component. This bi-directional data exchange is needed for ancillary CBC systems to properly provide information electronically with FSFN.
37	(iii) Each system used to calculate one or more components of title IV–E eligibility determinations per paragraph (b)(1)(ii) of this section, if applicable; and	Currently Being Met	Eligibility is currently being calculated in FSFN so no bi-directional data exchange is needed, Upgrades proposed as part of the Path Forward Initiative are assumed to keep the calculation of eligibility within FSFN.
38	(iv) Each system external to CCWIS used by title IV–E agency staff to collect CCWIS data, if applicable.	Currently Being Met, Required	This is a future state consideration. It is currently being met because collection of CCWIS data would be completed within the FSFN system. This requirement pertains to DCF staff, not CWCA staff. Assumption: If DCF is still participating in NEICE pilot program, that information would need to be bi-directionally exchanged with CCWIS.
39	(2) To the extent practicable, the title IV–E agency's CCWIS must support one bi-directional data exchange to exchange relevant data, including data that may benefit IV–E agencies and data exchange partners in serving clients and improving outcomes, with each of the following state or tribal systems:	N/A	Note: Items (2)(i)-(vi) do not currently have a bi-directional data exchange with FSFN. ACF understands the reality and potential challenges in implementing a bi-directional exchange with the below child welfare partners and systems. For this reason, "to the extent practicable" allows DCF the ability to outline a business case in the APD as to why the other system is not capable of an exchange or if the bidirectional exchange is not feasible, due to cost constraints of data exchange partners.

	Requirements for CCWIS Compliance		
#	**Requirements Description**	**Status**	**Notes**
40	(i) Child abuse and neglect system(s);	Currently Being Met	This requirement is currently being met because this information is already captured within FSFN, therefore no bi-directional data exchange is needed.
41	(ii) System(s) operated under title IV–A of the Act;	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
42	(iii) Systems operated under title XIX of the Act including:	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
43	(A) Systems to determine Medicaid eligibility described in 42 CFR 433.111(b)(2)(ii)(A); and	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
44	(B) Medicaid Management Information Systems as defined at 42 CFR 433.111(b)(2)(ii)(B);	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
45	(iv) Systems operated under title IV–D of the Act;	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.

#	Requirements Description	Status	Notes
	Requirements for CCWIS Compliance		
46	(v) Systems operated by the court(s) of competent jurisdiction over title IV–E foster care, adoption, and guardianship programs;	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
47	(vi) Systems operated by the state or tribal education agency, or school districts, or both.	Not Currently Being Met, To the Extent Practicable	"To the extent practicable" can be outlined in the APD business case.
(f) Data exchange standard requirements. The title IV–E agency must use a single data exchange standard that describes data, definitions, formats, and other specifications upon implementing a CCWIS:			
48	(1) For bi-directional data exchanges between CCWIS and each child welfare contributing agency; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. This requirement should be coordinated with the required CCWIS data quality plan to ensure data maintains its integrity and meets the data exchange standards requirements. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
49	(2) For data exchanges with systems described under paragraph (e)(1)(iv) of this section.	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. This requirement should be coordinated with the required CCWIS data quality plan to ensure data maintains its integrity and meets the data exchange standards requirements. This requirement also overlaps as "Not Currently Being Met (Technical)" item.
(g) Automated eligibility determination requirements.			

#	Requirements Description	Status	Notes
	Requirements for CCWIS Compliance		
50	(1) A state title IV–E agency must use the same automated function or the same group of automated functions for all title IV–E eligibility determinations.	Not Currently Being Met (Technical), Required	Guardianship and Extended Foster Care are not currently automated. These functions will need to be updated within FSFN to meet the automation functionality requirement.
51	(2) A tribal title IV–E agency must, to the extent practicable, use the same automated function or the same group of automated functions for all title IV–E eligibility determinations.	N/A	DCF is not classified as a Tribal Title IV-E agency.
(h) Software provision requirement.			
52	The title IV–E agency must provide a copy of the agency-owned software that is designed, developed, or installed with FFP and associated documentation to the designated federal repository within the Department upon request.	Not Currently Being Met (Technical), Required	This is a future state consideration. DCF would need to provide updated CCWIS modules as appropriate, per design requirements.
(i) Submission requirements.			
53	(1) Before claiming funding in accordance with a CCWIS cost allocation, a title IV–E agency must submit an APD or, if below the APD submission thresholds defined at 45 CFR 95.611, a Notice of Intent that includes:	N/A	N/A
54	(i) A project plan of how the CCWIS will meet the requirements in paragraphs (a) through (h) of this section and, if applicable § 1355.54;	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.

#	Requirements Description	Status	Notes
	Requirements for CCWIS Compliance		
55	(ii) A list of all automated functions included in the CCWIS; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
56	(iii) A notation of whether each automated function listed in paragraph (i)(1)(ii) of this section meets, or when implemented will meet, the following requirements:	N/A	N/A
57	(A) The automated function supports at least one requirement of this section or, if applicable §1355.54;	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
58	(B) The automated function is not duplicated within the CCWIS or systems supporting child welfare contributing agencies and is consistently used by all child welfare users responsible for the area supported by the automated function; and	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. DCF should work directly with ACF to obtain guidance on automated functionality and respective funding.
59	(C) The automated function complies with the CCWIS design requirements described under § 1355.53(a), unless exempted in accordance with § 1355.53(b).	Not Currently Being Met (Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions. Current system updates are grandfathered in if transition deadline is met (July 31, 2018), future designs must meet design requirements.
60	(2) Annual APD Updates and Operational APDs for CCWIS projects must include:	N/A	N/A

#	Requirements Description	Status	Notes
61	(i) An updated list of all automated functions included in the CCWIS;	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
62	(ii) A notation of whether each automated function listed in paragraph (i)(2)(i) of this section meets the requirements of paragraph (i)(1)(iii)(B) of this section; and	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
63	(iii) A description of changes to the scope or the design criteria described at § 1355.53(a) for any automated function listed in paragraph (i)(2)(i) of this section.	Not Currently Being Met (Non-Technical), Required	This is a future state consideration, and should be evaluated and detailed in ongoing APD submissions.
(j) Other applicable requirements.			
64	Regulations at 45 CFR 95.613 through 95.621 and 95.626 through 95.641 are applicable to all CCWIS projects below the APD submission thresholds at 45 CFR 95.611.	Currently Being Met	These regulations should continue to be evaluated and detailed in ongoing APD submissions.

Exhibit 4-3: Requirements for CCWIS Compliance

In summary, there are **19** requirements Currently Being Met; **17** requirements Not Currently Being Met (Technical), Required; **18** requirements Not Currently Being Met (Non-Technical), Required; requirements **7** Not Currently Being Met, To the Extent Practicable; and **3** requirements that are Not Applicable.

4.2 ALIGNING CCWIS-COMPLIANCE WITH CURRENT DCF PROJECTS

The federal CCWIS regulation fundamentally shifts the focus away from prescribed functional requirements to a flexible framework that places an emphasis on data quality and data exchanges. Since technology and operating models have evolved, the objective of CCWIS regulations is to allow for more modularity in each state's respective system, increased data quality, data sharing, and overall interoperability within the child welfare community, and flexibility to create a system that works best for each state.

The Department is cognizant of evolving data needs and has invested in multiple initiatives geared towards updating current data systems. These initiatives include the Results-Oriented Accountability Program, the FY 2017-18 Master Client Index (MCI) Project, and compliance enhancements in response to the Uniform Grant Guidance (UGG) and the Digital Accountability and Transparency Act of 2014 (DATA Act). These current, on-going initiatives also directly correlate with child welfare stakeholder's five-year business needs of:

- Data-Centricity
- 409.997 F.S. (ROA)
- Improving Technology

4.2.1 RESULTS-ORIENTED ACCOUNTABILITY

Among the Department's initiatives coinciding with child welfare stakeholder's five-year Business Needs is the implementation of the Results-Oriented Accountability Program (ROA).

The Florida Legislature passed Florida Statute (F.S.) 409.997 in 2014, allowing the creation of a platform for extensive advancement of the child welfare system through establishment of the ROA Program. The goal of the ROA Program is to develop an integrated, research-informed framework designed to inform communities, the child welfare system, and legislators on essential elements of child protection (Chapters 20, 39, and 409, F.S.). The long-term assurance of child welfare is the child welfare stakeholders number one goal and the Department identified the need for a consolidated view of relevant information from all key data sources (e.g., FSFN, DJJ, Mental Health, ACCESS, etc.) is available to case workers and front-line analysts in a timely fashion. The Department has made significant process in the pursuit of valuable data governance, data quality, and master data management processes. Prior to involving outside state agencies in data governance activities, the Department is currently pursuing data governance implementation within DCF.

4.2.2 UGG AND DATA ACT

In 2014, the Uniform Grant Guidance (UGG) and Digital Accountability and Transparency Act of 2014 (DATA Act) was created by the federal Office of Management and Budget (OBM) to streamline grant guidance and strengthen financial and performance accountability. The UGG and DATA Act shifted the focus of grant management from mere compliance to outcomes and performance measurement. In response, a gap analysis was conducted describing the Department's current state of compliance with UGG, identify any existing gaps, and provide recommendations for Department compliance with the UGG. The Department created a roadmap, consisting of a recommended series of activities, associated timelines for completion and the identification of needed resources, necessary to bring DCF into UGG compliance with respect to the identified gaps. The initiatives outlined in this roadmap, while laying the strategic foundation for UGG compliance and benefit realization, are concurrent with CCWIS initiatives to increase data quality and data sharing among child welfare services.

4.2.3 MCI

Similarly, the Department is currently reaching milestone accomplishments in the FY 2017-18 Priority of Effort to establish the infrastructure for integrated data analytics utilizing Master Client Index (MCI). The Department recently made the decision to use the Florida PIN as its enterprise master client identifier. The Department anticipates the Florida PIN algorithm will be an improvement over the current management of the FSFN Person ID. The planning and design of the solution is in progress at the time of this document. The Department is considering an interim short-term solution so that it can proceed with the perpetrator-centric predictive model pilot, as a part of the ROA Program, while the enterprise master client identifier is enabled for production use.

4.2.4 ACCESS

The current Economic Self-Sufficiency Services (ESS) eligibility system, known as the ACCESS (Automated Community Connection to Economic Self-Sufficiency), is currently going through a modernization. This modernization is the result of aging technology and is aimed at combatting fraud and identity theft activity, achieving continued state and Federal compliance, and capitalizing on real-time data sharing and integration with relevant programs.

SECTION 5   MARKET RESEARCH

This section provides an initial assessment of what other states are currently doing in terms of CCWIS or planning on direction. This information will be refined further in Deliverable 2.

5.1   CCWIS MARKET RESEARCH OVERVIEW

As DCF moves down the path of making a CCWIS election, it is relevant for the Department to understand how other states are reacting to the new federal rule change. While the SACWIS to CCWIS transition period is almost at its half-way point, a little less than half of states are currently evaluating how the new CCWIS rule will impact their child welfare communities. To-date there are no states that have elected to be Non-CCWIS. For some states, electing to become a CCWIS state (regardless of whether it's via a new system or a transition of systems) can be attributed to the more relaxed technical requirements that have been identified for CCWIS, as opposed to prior SACWIS requirements; the promulgation of modern day technology that will help bring states' systems up to industry standards; or the continued federal matching funds that will be available to CCWIS states after the transition period concludes. Shown below in this section is the designation and status of each state currently evaluating CCWIS, other states' journey through the CCWIS election process; and market solution trends that are beginning to develop.

5.2   CCWIS MARKET RESEARCH ANALYSIS

Florida is unique in how it has organized and coordinated its child welfare community – subcontracted lead agencies regionalized throughout the state. While other states may have a top-down, state-directed program, or county-based programs, the technology and governance needs of Florida's child welfare community are more complex. Twenty-three (23) states are currently evaluating how the new CCWIS rules will affect their state, and determining which CCWIS election is best for the population they serve. Florida is currently under-going this same process. An "apples to apples comparison" is not possible, given the distinct make-up of Florida's child welfare model, it should be noted that Florida is being proactive to assess these new federal rules and how they could impact the children and families they serve.

5.2.1   NATIONWIDE SNAPSHOT OF CCWIS ELECTIONS TO-DATE

One year into the CCWIS election notice period, twenty-three (23) states have formally submitted CCWIS intent to ACF[3]. The designations, as of July 2017, are as follows:

State	Current Child Welfare Information System Status	Initiated Formal CCWIS Assessment	Declared Transitional CCWIS	Declared New CCWIS
ARIZONA	DEVELOPMENT			YES

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[3] https://www.acf.hhs.gov/cb/resource/ccwis-status

State	Current Child Welfare Information System Status	Initiated Formal CCWIS Assessment	Declared Transitional CCWIS	Declared New CCWIS
CALIFORNIA	DEVELOPMENT			YES
COLORADO	DEVELOPMENT	YES		
CONNECTICUT	PLANNING			YES
DELAWARE	DEVELOPMENT			YES
DISTRICT OF COLUMBIA	OPERATIONAL	YES		
FLORIDA	OPERATIONAL	YES		
GEORGIA	OPERATIONAL	YES		
HAWAII	PLANNING			YES
ILLINOIS	PLANNING			YES
INDIANA	OPERATIONAL	YES		
LOUISIANA	PLANNING			YES
MAINE	OPERATIONAL	YES		
MARYLAND	PLANNING			YES
MISSISSIPPI	DEVELOPMENT			YES
MONTANA	DEVELOPMENT			YES
NEW HAMPSHIRE	OPERATIONAL	YES		
NEW YORK	OPERATIONAL	YES		
NORTH CAROLINA	OPERATIONAL		YES	
PENNSYLVANIA	OPERATIONAL		YES	
VIRGINIA	PLANNING			YES
WEST VIRGINIA	PLANNING			YES
WISCONSIN	OPERATIONAL	YES		

Exhibit 5-1: Nationwide Snapshot of CCWIS Elections

5.2.2 OTHER STATES' CCWIS ELECTION JOURNEY

Given that the functional requirements are less stringent for CCWIS than they were for SACWIS, states are adopting a variety of approaches to achieve CCWIS compliance. These decisions are made based upon many factors, including: the age of their existing child welfare information system, recent investments that have been made in their systems, availability and sustainability of other enterprise assets, agency and stakeholder priorities, and willingness to make investments and business process changes. The below overview of some state projects provides an example of the various approaches.

Arizona

After completing a feasibility study to evaluate the alternatives, the Arizona Department of Child Safety (DCS) has developed a five-year roadmap that will completely replace their current child welfare system, CHILDS with a CCWIS compliant system called Guardian. Given the time and complexity that it will take to fully replace CHILDS, DCS has taken an unprecedented approach to implementing a mobility system of engagement first. This solution will initially interface with CHILDS, providing immediate benefits to their field workers. This provides early return on their investment, while allowing the time that is needed to implement the new technology, which is a platform approach. The platform allows for an incremental build that will defer cost over a longer period. This will also allow DCS to integrate the modules in the order of need, using multiple vendors (if they choose to do so).

Virginia

The Virginia Department of Social Services, Division of Family Services completed a feasibility study in June of 2017. The results of the study recommended that DSS replace its current child welfare information system through a combination of leveraging scalable existing state assets and expanding as needed to achieve functional specific capabilities. The plan includes submission of an intent to achieve CCWIS compliance. Like Arizona, Virginia is opting for a mobility first solution to provide immediate relief for field workers, while developing a roadmap for a replacement solution.

Pennsylvania

The Pennsylvania Department of Human Services completed a feasibility study in 2009. The feasibility study recommended that PA, a county administered state, go with a non-SACWIS solution. Foregoing the enhanced funding, the state opted instead to do what made most sense for the state's child welfare agency and the counties who administer services. The Department chose to leverage investments that had been made in county case management systems by consolidating down to a smaller number of solutions that would exchange data with the state centralized data store allowing the state to meet the federal reporting and state oversight needs, as required. The PA Child Welfare Information Solution (CWIS) was launched in 2015. They have leveraged other state assets such as the Master Child Index, web services, and data warehouse to further expand the capabilities of this innovative approach. The solution will continue to evolve to meet the new CCWIS requirements, including expanded data exchanges.

California

Child Welfare Digital Services (CWDS) is a collaboration of California state and local government agencies that provide technology solutions to the programs that are responsible for child welfare across the state. In addition to maintaining and support existing Child Welfare Services / Case Management System (CWS/CMS), they are simultaneously developing a new technology platform and digital services that will be incrementally implemented over the next several years. The new solutions are intended to provide a more intuitive user experience and expanded capabilities to the vast variety of users.

In an effort to achieve innovation, flexibility and interoperability a strike force was developed to determine how the state could deliver innovative services faster. This strike force developed

the current approach to prioritize business needs by business process and implement improvements in increments. The Intake business process was identified as the highest priority for improvement. This would be achieved by a rapid series of procurements, use of an agile development methodology, and incremental deployments by function. The first procurement was for an API to wrap the legacy database so that the new modules could access it.

There are several interesting elements of this approach worth noting. First, CWDS worked with 18F to develop the procurement approach. 18F is a digital services agency that is part of the federal government's General Services Administration (GSA). Their mission is to improve how states procure and implement technology solutions using modern technologies and purchasing strategies. 18F, worked closely with the State to develop a 10-page RFP and implementation plan.

The second item of note, is the level of transparency that the program committed to from day one. The Digital Services Implementation (https://cwscms.osi.ca.gov/Portal/Digital-Services-Implementation-Portal) provides public information such as the status of project and related documents/presentations, a calendar, and frequently asked questions. The secure area of the site offers tools, templates, and a sandbox for users to try out the new modules as modules are being developed.

5.2.3 MARKET SOLUTIONS

Relevant market innovations related to CCWIS include a preference for agile procurement and agile development. The federal emphasis on modularity, reuse and interoperability aligns with efforts to procure and implement solutions quickly. To achieve this, some states are leveraging existing state contracts or state pre-approved vendors to allow for a faster procurement timeline. This setup may indeed speed up the process, but it can also limit the vendor pool and therefore, the competition that can drive down price and offer innovation.

In some states, new vendors are entering the market and states are using multi-vendor models. These approaches have advantages and disadvantages. The goal of multi-vendor models is to have smaller, more manageable projects to help reduce risk. With that comes administrative overhead in managing the vendors, and a degree of coordination between the vendors that can be challenging.

Agile development may be unfamiliar to the technology department and to program staff. For agile to work well, it requires significant time commitments at all levels of the organization. It also requires empowerment of staff to make decisions in real-time. This is often a challenge in very hierarchically cultured organizations. Agile tends to lack the structure of traditional approaches and can compromise overall project schedule, scope, and budget if not carefully managed.

None of these challenges are insurmountable, but planning for these issues can increase the success of the project. DCF recently used an Agile approach to deliver five FSFN system releases to improve functionality for child welfare professionals and reporting capabilities between July 2016 – May 2017.

5.3 TECHNOLOGY STANDARD PRACTICES

This section lists technology and data standard practices for child welfare systems in use and under development throughout the country. While there is always room for improvement in efficiency and effectiveness, when reviewing and analyzing the FSFN system, most items noted as standard practices are currently being done by the Department. Child welfare systems generally incorporate the following technology practices and characteristics below:

SECTION 6   CCWIS ELECTION ALTERNATIVES

This section provides an initial set of alternatives regarding how to bridge the gap from the current-state to the potential future-state. This information will be refined further in Deliverable 2.

6.1   ALTERNATIVES OVERVIEW

The ACF final rule, published in 2016, gave SACWIS states three alternatives to consider when making their CCWIS election. These alternatives include:

- Non-CCWIS Compliant
  - › 1. Once the current SACWIS transition period concludes in 2018, states can elect to have Non-CCWIS systems
- CCWIS Compliant
  - › 2. Transition a state's current SACWIS system to a CCWIS system
  - › 3. Build a new CCWIS system separate from the SACWIS system

Although the CCWIS election is a main driver for DCF's future state considerations, the over-arching business needs of the Department were also taken into account. Most of DCF's business needs, and respective FSFN enhancements, can be achieved in a CCWIS compliant or Non-CCWIS compliant path, with the respective federal and state funding allocations being a main differentiator. These breakdowns will be outlined in greater detail in the Schedule IV-B document.

6.1.1   CCWIS ELECTION ALTERNATIVES

Today, DCF is receiving SACWIS funding for the development and operational costs of FSFN, and that funding will continue at the current cost allocation rate as presented in the 2017/18 APD through the transition period, ending July 31, 2018. How and when reimbursement funding streams change is dependent on the CCWIS election alternative that is chosen by DCF.

6.1.1.1 ALTERNATIVE 1: SACWIS TO NON-CCWIS

In this election alternative, DCF choses to enhance FSFN and not develop a CCWIS, effectively electing to be Non-CCWIS compliant. Given this alternative, DCF could continue to claim SACWIS Title IV-E reimbursement at the current cost allocation rate (as seen in their 2017/18 APD). This funding would continue through the transition period (August 1, 2016 – July 31, 2018), at which point SACWIS funding would end and non-SACWIS/non-CCWIS funding would begin at the traditional IV-E rate for administration, maintenance, and training.[4]

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4 https://www.acf.hhs.gov/sites/default/files/cb/ccwis_cost_allocation_presentation.pdf

6.1.1.2 ALTERNATIVE 2: TRANSITION SACWIS TO CCWIS

In this election alternative, DCF choses to enhance FSFN and develop a CCWIS. Given this alternative, DCF could continue to claim SACWIS Title IV-E reimbursement at the same cost allocation rate that they do currently (as seen in their 2017/18 APD). This funding would continue through the transition period (August 1, 2016 – July 31, 2018), at which point SACWIS funding would end and DCF could begin to claim CCWIS reimbursement at the rates indicated in Exhibit 6-1.[5]

6.1.1.3 ALTERNATIVE 3: SACWIS TO NEW CCWIS

In this election alternative, DCF choses to build a new CCWIS compliant system, separate of FSFN. Given this alternative, DCF would continue to receive SACWIS funding at the cost allocation rate seen in their 2017/18 APD for FSFN through the transition period (August 1, 2016 – July 31, 2018). The new CCWIS system is eligible for CCWIS dollars through the transition phase, once DCF has submitted a letter of intent and a CCWIS-compliant system has been approved by ACF. The new system would be eligible for CCWIS reimbursements at the rates indicated in Exhibit 6-1.[6]

6.2 CCWIS FUNDING RULES

Funding for DCF's current SACWIS is separated into 1) design, development and building of an information system, 2) implementation and maintenance and 3) ongoing operations. DCF claims the development and maintenance costs for updates to FSFN through statistics in Florida's Cost Allocation System. Florida DCF compiles case load data on a quarterly basis to allocate SACWIS maintenance and operation costs. It is important to consider that these IV-E reimbursable technology costs are not tied to DCF's Title IV-E Waiver or claims, which fund the majority of Florida's IV-E eligible programs and activities.

The new funding rules for CCWIS now allow DCF to claim both development and ongoing operational costs directly to Title IV-E at fifty percent (50%) for eligible program and functionality.[7] DCF can also use Title IV-E funding to cover the cost of training IV-E eligible personnel on the enhanced FSFN system at the enhanced seventy-five percent (75%) reimbursement rate[8]. The DCF Child Welfare Policy and Procedure Manual states that training is reimbursable on "other child welfare automated system functionality that is closely related to allowable administrative activities in accordance with 45 CFR 1356.60(d) that the State has

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5 https://www.acf.hhs.gov/sites/default/files/cb/ccwis_cost_allocation_presentation.pdf

6 Ibid

7 https://www.acf.hhs.gov/sites/default/files/cb/executive_guide_to_ccwis.pdf

8 Administration of Children and Families, Children's Bureau, Child Welfare Policy Manual, Section 8.1H TITLE IV-E, Administrative Functions/Costs, Training, Question 8
https://www.acf.hhs.gov/cwpm/programs/cb/laws_policies/laws/cwpm/policy_dsp.jsp?citID=116

chosen to claim as Title IV-E training rather than as SACWIS developmental or operational costs."[9]

Previously, costs allocated to Title IV-E are claimable only for children and youth who are eligible and for program specific activities, under the new CCWIS regulation, costs can be allocated to IV-E more broadly. As part of the funding available for CCWIS, DCF can receive a federal match for development costs if they benefit child welfare related programs (at this time, these programs are defined by ACF as Adult Protective Services and Juvenile Justice), in addition to all participants of IV-E programs and activities, eligible or ineligible, and participants of Title IV-B programs[10]. Any CCWIS eligible costs required to develop enhancements that support any of these programs, are eligible for up to a fifty-percent (50%) CCWIS development match. This match will only be applicable as it relates to child welfare related programs in system development, not system operations or training. The following table indicates the programs and activities that are eligible for CCWIS reimbursement through the project lifecycle.

Note: In addition to following the APD regulations (45 CFR 95.605), to assist DCF in capitalizing on as much federal funding as possible, DCF is encouraged to contact their ACF Analyst for technical assistance regarding whether specific upgrades meet the regulatory definition of "development," once the system design and development phase of the project has begun.

Costs can be allocated to Title IV-E if Costs Benefit:				
	Title IV-E funded participants in Title IV-E programs and activities	**State or Tribal funded participants of programs and activities described in Title IV-E**	**Title IV-B Programs**	**Both Title IV-E and child welfare related programs (APS and Juvenile Justice)**
CCWIS Development	✔	✔	✔	✔
CCWIS Operational	✔	✔	X	X
Non-CCWIS (Development and Operational)	✔	X	X	X

Exhibit 6-1: CCWIS Cost Allocations

Sample Cost Modeling: CCWIS Compliant Vs. Non-CCWIS Compliant

For discussion and demonstration purposes, the below table is built off a case count of Title IV-E which reflects 40% of case load and 55% eligibility rate.

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9 Ibid

10 https://www.federalregister.gov/documents/2015/08/11/2015-19087/comprehensive-child-welfare-information-system

Title IV-E Funding CCWIS Compliant vs. Non-CCWIS Compliant				
	Development*		Operations*	
Federal Reimbursement Opportunity	50%	11%	50%	11%
State Funding	50%	89%	50%	89%

Exhibit 6-2: Cost Modeling: CCWIS Compliant Vs. Non-CCWIS Compliant

CCWIS Compliant   Non-CCWIS Compliant

*Note: *For Development and Operations cost breakdowns, please refer to Section 6.1, Exhibit 6-1 regarding CCWIS Cost Allocations.*

SECTION 7   APPENDIX

1. Business Objectives Matrix

170705-CCWIS-Busi
nessObjectives-Mapp

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families   **Budget Period 2018 - 2019**

Budget Entity: 60910506

		(2) ACTUAL FY 2016-2017	(3) ESTIMATED FY 2017-2018	(4) REQUEST FY 2018-2019
(1) **SECTION I**				
Interest on Debt	(A)	4,268,225.01	3,891,985.00	3,496,610.00
Principal	(B)	7,410,000.00	7,785,000.00	5,000,000.00
Repayment of Loans	(C)			
Fiscal Agent or Other Fees	(D)	38,089.54	35,000.00	25,000.00
Other Arbitrage Rebate Am	(E)		6,000.00	6,000.00
Total Debt Service	**(F)**	11,716,314.55	11,717,985.00	8,527,610.00

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

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

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

SECTION II

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

(1) INTEREST RATE	(2) MATURITY DATE	(3) ISSUE AMOUNT	(4) 30-Jun-18	(5) 30-Jun-19
From 3.75% to 5.00%	7/1/2018	$37,985,000	-	

(6)		(7) ACTUAL FY 2016-2017	(8) ESTIMATED FY 2017-2018	(9) REQUEST FY 2018-2019
Interest on Debt	(G)	295,740.01	151,500.00	-
Principal	(H)	2,885,000.00	3,030,000.00	-
Fiscal Agent or Other Fees	(I)	10,093.44	10,000.00	
Other	(J)			
Total Debt Service	**(K)**	3,190,833.45	3,191,500.00	-

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

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-18	30-Jun-19
From 4.00% to 5.00%	10/1/2025	$41,940,000	24,845,000.00	22,605,000.00

		ACTUAL FY 2016-2017	ESTIMATED FY 2017-2018	REQUEST FY 2018-2019
Interest on Debt	(G)	1,385,750.00	1,281,875.00	1,172,625.00
Principal	(H)	2,025,000.00	2,130,000.00	2,240,000.00
Fiscal Agent or Other Fees	(I)	12,336.25	10,000.00	10,000.00
Other	(J)		3,000.00	3,000.00
Total Debt Service	**(K)**	3,423,086.25	3,424,875.00	3,425,625.00

Office of Policy and Budget - July 2017

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department:	Children and Families		**Budget Period 2018 - 2019**	
Budget Entity:	60910506			

	(2)	**(3)**	**(4)**
(1)	**ACTUAL**	**ESTIMATED**	**REQUEST**
SECTION I	**FY 2016-2017**	**FY 2017-2018**	**FY 2018-2019**

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

SECTION II

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

(1)	**(2)**	**(3)**	**(4)**	**(5)**
INTEREST RATE	**MATURITY DATE**	**ISSUE AMOUNT**	**30-Jun-18**	**30-Jun-19**
From 4.00% to 5.00%	10/1/2029	68,730,000.00	49,270,000.00	46,510,000.00

	(6)	**(7)**	**(8)**	**(9)**
		ACTUAL	**ESTIMATED**	**REQUEST**
		FY 2016-2017	**FY 2017-2018**	**FY 2018-2019**
Interest on Debt	(G)	2,586,735.00	2,458,610.00	2,323,985.00
Principal	(H)	2,500,000.00	2,625,000.00	2,760,000.00
Fiscal Agent or Other Fees	(I)	15,659.85	15,000.00	15,000.00
Other	(J)		3,000.00	3,000.00
Total Debt Service	**(K)**	5,102,394.85	5,101,610.00	5,101,985.00

ISSUE:

INTEREST RATE	**MATURITY DATE**	**ISSUE AMOUNT**	**30-Jun-18**	**30-Jun-19**

Total Debt Service	**(K)**			

Office of Policy and Budget - July 2017

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

Department: **Children and Families**

Chief Internal Auditor: **Steven Meredith**

Budget Entity:

Phone Number: **850-717-4167**

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A-1516DCF-004	2016-2017	Child Welfare Information Technology Services	*Audit of the Florida Safe Families Network Financial Module* The objective of this audit was to examine Community-Based Care Lead Agencies' (CBCs') usage of the Florida Safe Families Network (FSFN) financial module to record client-specific expenditures. The scope of this audit focused on Office of Child Welfare client-specific expenditures during the period January 1, 2015 through March 31, 2015, including policies and practices in effect as of June 30, 2015. The audit disclosed the following: • CBC's often did not enter sufficient information in the FSFN Financial Module for the Department to determine whether client-specific expenditures had been incurred; • Control over access to confidential FSFN data needed improvement; and • The Department had not required CBCs to enter all client-specific expenditures in the FSFN financial module.	The Director of Child Welfare Strategic Projects responded that the Department has defined the minimum menu of services desired in communities to serve children and families and is implementing requirements for each CBC to document all such services funded by the CBC. The Office of Information Technology Services responded that it is developing an Operational Security Plan that is scheduled to be implemented during fiscal year 2016 - 2017. As part of this effort, OITS will re-evaluate practices over access to FSFN data.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS   **Budget Period: 2017 - 2018**

Department: Children and Families   **Chief Internal Auditor: Steven Meredith**

Budget Entity: **Phone Number: 850-717-4167**

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A-1516DCF-045	2016-2017		*Welfare Trust Funds Maintained by Headquarters* The objectives of this audit were to determine whether: • Transactions of Welfare Trust Funds were made in compliance with state law and Department policy and procedures; • Adequate controls were maintained over donations to ensure they were appropriately expended; • Sufficient documentation was generated and maintained to support Welfare Trust Fund disbursements; • Whether balances in the local bank accounts were maintained in accordance with Department policy; and • Why the Central Region and SunCoast Region did not spend any available Welfare Trust Funds during calendar year 2015.	The Chief Financial Officer responded that Financial Management will provide monthly information regarding account balances, directives, and/or restrictions for use to all regions, review the usage of funds, invest excess funds, and update existing polices.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

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			The scope of this audit included reviewing procedures and supporting documentation of welfare trust funds maintained at Headquarters. The audit disclosed the following: • During the 2015 calendar year, the Central Region and SunCoast Region did not expend any of the $226,960.77, in total, available to them in DCF Headquarters Welfare Trust Funds. Additionally, the Central Region did not expend any of the $11,443.02 available in the Mildred F. MacDonnell Children's Fund. • Excess Welfare Trust Funds in local bank accounts were not invested in accordance with state law and Department policy. • Petty cash internal control procedures were insufficient and need improvement. • Welfare Trust Funds procedures were outdated during the period under review.		

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS **Budget Period: 2017 - 2018**

Department: **Children and Families**   Chief Internal Auditor: **Steven Meredith**

Budget Entity: _____   Phone Number: **850-717-4167**

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A-1516DCF-118	2016-2017	Office of Child Welfare	*Audit of the Incident Reporting and Analysis System (IRAS)* The objective of this audit was to evaluate the internal control structure and determine if the system was being used as designed. The scope of this audit focused on IRAS transactions and related activities for calendar years 2014 and 2015, and through the end of fieldwork (September 28, 2016). The audit disclosed the following: • IRAS access controls did not effectively remove IRAS users who were no longer employed by the Department or its licensed or contracted service providers; • For calendar years 2014 and 2015, the Southern Region did not enter all critical incidents into IRAS. Upon review of more recent data, however, the Southern Region had significantly improved its IRAS incident reporting; and • IRAS Substance Abuse and Mental Health Missing Child notifications may need additional review.	The Director of the Office of Child Welfare responded that Child Welfare would work with Department staff to revise the necessary procedures and the IRAS User Administrator Guide to develop a protocol for ensuring the timely deactivation of profiles when IRAS access is no longer needed or authorized. The Director of the Office of Child Welfare and the Assistant Secretary for Substance Abuse and Mental Health responded that the two areas would work together to address policy issues regarding missing children notifications.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

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Phone Number: 850-717-4167

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A-1617DCF-020	2016-2017	Office of Child Welfare Office of Financial Management	*Child Care License and Registration Fee Collections* The objective of this audit was to determine whether the Department reconciled license and registration fees that should have been collected per the Child Care Administration Regulation and Enforcement System (CARES), to the amount of fees actually collected, deposited in the bank, and recorded in the Department's Cash Receipts System and the Florida Accounting and Information Resource (FLAIR) system. The scope focused on child care license and registration fee collections recorded by the Department in FLAIR for fiscal year 2015-2016. The audit disclosed the following: • The Department did not periodically reconcile license and registration fees collected per CARES, to fees actually collected, deposited in the bank, and recorded in the Cash Receipts System and FLAIR; • Bank deposits of license and registration fees collections were not always timely; and • Physical safeguarding of registration fee collections needed improvement.	The Director of Child Care Regulation responded that the Office of Child Care Regulation would work with the Office of Revenue Management to conduct a quarterly reconciliation. The Director also responded that the appropriate staff will be reminded of the statutory time requirements and that updates to policy will be incorporated to ensure that registration fees are safeguarded.	

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(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
A-1617DCF-034	2016-2017	Office of Child Welfare	*Inappropriate Access to Case Files in FSFN* The objective of this audit was to identify conditions where Department employees and contracted providers accessed the Florida Safe Families Network (FSFN) without a legitimate business purpose and to make recommendations to mitigate such occurrences. The scope of this audit included OIG investigations completed during the period July 1, 2013 through June 30, 2016, and was limited to the Department's current preventative and detective controls relating to FSFN. The audit disclosed that supervisory reviews were not conducted to verify the legitimacy of FSFN searches. ☐	The Assistant Secretary of Operations concurred with the finding and is working closely with the Department's Offices of Information Technology Services and Human Resources to reduce the occurrences of inappropriate access to Department systems. Specific steps being initiated include: • Developing an e-Acknowledgement that will be disseminated to all employees. The e-Acknowledgement is to ensure that all Department employees are aware of state law and Department policies regarding falsifying records and accessing systems. • Identifying red flag indicators that will be used to alert management and supervisors to possible inappropriate access and misuse of specific systems; • Conducting regional meetings with all staff to ensure all employees are aware of the Department policy on accessing systems and records; and • Ensuring system access is terminated for all employees who separate from the Department.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

Department: **Children and Families**

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(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AUDITOR GENERAL 2018-013	2016-2017	Substance Abuse and Mental Health Information Technology Services	*Substance Abuse and Mental Health Information System (SAMHIS) - Information Technology Operational* This operational audit of the Department of Children and Families (Department) focused on evaluating selected information technology (IT) controls applicable to SAMHIS and included a follow-up on findings included in report No. 2015-155 that were applicable to the scope of this audit. This audit disclosed the following: 1) SAMHIS application input edits for ensuring data accuracy and validity need improvement.	In response to findings contained in the March 2015 Operational Audit Report No. 2015-155, Oversight of Substance Abuse and Mental Health Services, the Department received funding to pursue the development of a replacement data system for tracking and managing financial and service data related to Department funded behavioral healthcare services. The Department anticipates awarding a contract for the development of the new system, the Financial and Services Accountability Management System (FASAMS) by September 30, 2017. Recommendations discussed in the July 7 preliminary and tentative audit findings will be incorporated into FASAMS. 1) The audit determined that SAMHIS data entry screens and File Transfer Protocol data submission processes allow for data values outside of standard ranges such as invalid times or terminating dates that precede initiation dates.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

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(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
AUDITOR GENERAL 2018-013	2016-2017	Substance Abuse and Mental Health Information Technology Services	*Substance Abuse and Mental Health Information System (SAMHIS) - Information Technology Operational* Continuation --	The Department will include the deployment of the Master Client Index (MCI) process, planned enhancements to SAMHIS, and incorporate additional validation rules in FASAMS. The MCI process will assign a unique identifier (U ID) to each person served by SAMH funds based on proven methodologies built into the Department's Office of Economic Self-Sufficiency's FLORIDA system. As of ~uly 1, 2017, more than four million UIDs, out of an approximate total of five million, have been assigned to SAM HIS demographic records via the MCI process. An additional one million demographic records are anticipated to be resolved by October 31 , 2017, once an automated UID process is deployed. Data validation edits to SAMHIS to prevent problems identified during the audit are being reviewed and prioritized for development either in SAMHIS or in FASAMS.	

Department: Children and Families   **Chief Internal Auditor: Steven Meredith**

Budget Entity: **Phone Number: 850-717-4167**

(1)	(2)	(3)	(4)	(5)	(6)
REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
			2) SAMHIS did not facilitate reconciliations of client service data to the associated expenditure data recorded in the Department's and Behavioral Health Managing Entities' accounting records.	2) ...Functionality to define core business rules for linking services and financial data will be added to the future FASAMS system, and complete documentation will be provided to the Managing Entities (ME) and other data submitters to ensure financial and service accountability. In the interim, the Department has added functionality to both its existing data collection and expenditure reconciliation models. SAMHIS functionality has been expanded to better connect SAMHIS collected service/encounter data with financial data from internal and external data systems. Simultaneously, supporting documentation for the Managing Entity monthly invoicing and year-end reconciliation process has been expanded to capture provider-level detail connecting service events to fund sources. While this approach still requires a manual reconciliation of reports generated across multiple systems, it provides significant additional validation pending the implementation of an integrated data and financial management system.	

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

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AUDITOR GENERAL 2018-013	2016-2017	Substance Abuse and Mental Health Information Technology Services	*Substance Abuse and Mental Health Information System (SAMHIS) - Information Technology Operational*	The Department will establish procedures to conduct monthly reviews of ME expenditure data through the Department's financial accountability office and will directly incorporate SAMH service event data from the MEs for validation and reconciliation.	
			3) The Department had not established procedures for periodic reviews of SAMHIS user access privileges and did not perform such reviews during the period July 2016 through April 2017.	3) By the fifth working day of each month, ME Data Liaisons will check the roles of their staff and subcontractor staff with SAM HIS access to ensure that continued SAMHIS access is needed, and that roles are appropriate for the employee's current job responsibilities. Using an Ad Hoc Active User Report to check the last SAM HIS login date for all staff and subcontractor staff, the Data Liaison shall complete a Database Access Request Form requesting deactivation for each user with 60 or more days of SAMHIS inactivity, and submit the form to the SAMH Data Unit by the tenth of each month.	

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AUDITOR GENERAL 2018-013	2016-2017	Substance Abuse and Mental Health Information Technology Services	*Substance Abuse and Mental Health Information System (SAMHIS) - Information Technology Operational* 4) The Department's access control procedures need improvement to better ensure that access privileges granted for users of SAMHIS and the Department's network are timely deactivated when users separate from employment. 5) Certain Department security controls related to user authentication, logging and monitoring, and the protection of confidential and exempt data for SAMHIS and related IT resources need improvement.	4) To ensure that SAMH headquarters employee SAMHIS and network access is revoked upon separation, the SAMH Human Relations liaison will email the Data Unit security staff at least one day prior for all anticipated separations. For unanticipated separations, the SAMH Human Relations liaison will email the Data Unit security staff as soon as separation has been completed. In both cases, the employee's SAMHIS and network access will be revoked immediately following notification. 5) The audit revealed that the SAM HIS security controls need improvement and provided recommendations on how to improve the security of SAMHIS data. The Department agrees with the findings. The Department is evaluating which solutions will be implemented in SAMHIS and which will be incorporated into the future FASAMS system.	

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AUDITOR GENERAL 2017-205	2016-2017	Substance Abuse and Mental Health	*Oversight and Administration of State Mental Health Treatment Facilities – Operational Audit* This operational audit of the Department of Children and Families (Department) focused on the oversight and administration of State Mental Health Treatment Facilities (Facilities) and the oversight of the Sexually Violent Predator Program (SVPP) Facility. The Facilities include three Department-managed Facilities and four contractor-managed Facilities. Auditors performed audit procedures at the Department and the three Department-managed Facilities: Florida State Hospital, North East Florida State Hospital, and the North Florida Evaluation and Treatment Center. The audit disclosed the following: **Department Oversight and Monitoring of Facilities** 1) The Department did not ensure that all Facilities were licensed by the Agency for Health Care Administration in accordance with State law.	In 2014, the Department undertook an extensive analysis of the state behavioral health services system, including the state-operated MHTFs, to review staffing levels, operations, work culture, and infrastructure needs. As a result of this comprehensive assessment, the Department continues to make improvements in safety and performance at the three state-operated facilities. 1) The buildings that house two forensic-only facilities (NFETC and TCFTC), as well as the 435 beds at FSH referenced in the AG findings, were not designed or required to be used as hospitals per Chapter 394 regarding forensic psychiatric treatment. All clinical services are delivered to residents who are in AHCA-licensed beds as required by law. All three stateoperated facilities are accredited by the Commission on Accreditation of Rehabilitation Facilities and TCFTC is accredited by the Joint Commission. the Department has sought legislative funding to address the facilities' physical plant deficiencies and will continue to look for improvements that can be made with current resources and facilities. For example, construction costs to build a	

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			2) The Department's oversight of Department-managed Facilities needs enhancement to ensure that the standard of care for all clients is met and the Facilities comply with State law, Department rules, and Department procedures.	2) In 2016, the Department began implementation of the one hospital approach to improve and standardize operations, services, core processes, and performance measurement systems across the three state-operated facllities. As part of the one hospital approach, a new reporting structure for facility operations was established with the appointment of a Chief Hospital Administrator. Under the leadership of the Chief Hospital Administrator, all hospitals are moving towards a clinical organizational model and unified policies and procedures, quality reviews, financial management, employee classifications, job descriptions, and pay equity. The Chief Hospital Administrator is also hiring a Chief Medical Executive Director to oversee all psychiatric, medical, pharmacy, and dietary functions of the facilities. Quality reviews have been scheduled at each state-operated facility to establish periodic monitoring of facilities' compliance `with statutes and the Department policies and priorities.	

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AUDITOR GENERAL			3) The Department's monitoring of contractor-managed Facilities and the SVPP Facility was not always adequate to ensure that all key contract requirements were subject to monitoring or that adequate supervisory review of monitoring efforts was documented.	3) The Department will enhance its monitoring of contracted facilities to ensure that all key contract requirements are reviewed on a regular basis. Specifically, the Chief Medical Executive Director hired by the Chief Hospital Administrator will partici[pate in onsite monitoring of contracted facilities.	
			4) The Department did not always ensure that square footage information for Department-managed Facilities was accurately reported in the Florida State-Owned Lands and Records Information System.	4) The Department will work with the facilities to establish policies and procedures for maintaining facility data in the Florida State-Owned Lands and Records Information System	

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			Administration of Department-Managed Facilities 5) Department-managed Facilities staff did not always prepare required incident reports or report to the Department critical events involving clients and staff in accordance with Department procedures.	5) The one hospital approach's streamlined administrative structure is addressing incident reporting issues: specifically, the consistent application of policies and practice regarding incident reports. Procedures for incident reporting have been enhanced and now also include a weekly call with Department leadership regarding any level two assaults. The Facility Incident Tracking System (FITS) was brought online in all public and private facilities in 2016 to provide electronic notification when critical incidents occur at any facility. Further, an agency-wide review of various incident reporting mechanisms and procedures is underway.	

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			6) Department-managed Facility procedures did not specify the factors to be considered in determining minimum staffing coverage or how frequently minimum staffing levels should be evaluated and updated. Additionally, Department-managed Facilities did not always meet minimum staffing requirements.	6) In 2015, the Department hired a consultant to analyze the staffing needs of state-operated MHTFs. The consultant concluded that there are no national standards for minimum staffing of psychiatric facilities. However, the Department Is In the process of updating the facility staffing policy to allow for consideration of additional factors when determining minimum facility staffing requirements.	
			7) Department-managed Facilities did not always ensure that pharmaceuticals were properly secured or that pharmacy duties were appropriately separated.	7) The issue identified in this finding has been resolved. Additionally, pharmaceutical practice will continue to be monitored as part of ongoing quality assurance activities, including adding a ~~pharmacist to the quality review team~~	
			8) Department-managed Facility controls for accurately and appropriately accounting for pharmaceuticals need enhancement.	8) The Finance Director, who reports to the Chief Hospital Administrator, is in the process of establishing purchasing controls to ensure compliance with state law and will also oversee pharmaceutical operations. This additional pharmacy oversight will improve accountability. The Department recently purchased automated medication carts to aid in the accuracy and accountability of resident medication administration at the three state-operated facilities.	

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			9) Department-managed Facilities did not always· properly account for or safeguard seized contraband.	9) The Department is revising the contraband policy and will ensure that state-operated facilities comply with its requirements.	
			10) Department-managed Facilities did not always ensure that expenditures were authorized by State law, adequately supported, properly calculated, or subject to appropriate approval.	10) The Department has addressed all of the issues identified in this finding and will ensure future compliance of financial management.	
			11) Department-managed Facility controls did not always ensure that expenditures were appropriately coded or accounted for.	11) The Department has addressed all of the issues identified in this finding and will ensure future compliance of financial management.	
			12) Department-managed Facilities did not always allocate costs in a manner that accurately Identified the costs to provide civil and forensic services.	12) The Department is developing cost allocation plans to address these issues and is also working with a consultant to ensure costs are captured accurately for reporting purposes.	
			13) Florida State Hospital and North East Florida State Hospital controls for appropriately accounting for tracking and detection canines need enhancement.	13) Procedures to more appropriately manage the administrative function of the tracking and detection canines are under development. The Department is also researching best practices to guide practice improvements.	

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				In closing, the Department has worked aggressively over the last two years and continues to make improvements on safety and performance at the state-operated MHTFs to achieve the best outcomes for residents committed to the state's care. The Department has developed a four-year plan that strategizes actions and initiatives through 2020 to continue to advance treatment and service delivery. The improvements to the state's substance abuse and mental health system of care, including the oversight and operation of all state mental health treatment facilities, will continue to be among the agency's top priorities. The Finance Director, who reports to the Chief Hospital Administrator, is in the process of establishing purchasing controls to ensure compliance with state law and will also oversee pharmaceutical operations. This additional pharmacy oversight will improve accountability. The Department recently purchased automated medication carts to aid in the accuracy and accountability of resident medication administration at the three state-operated facilities.	

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2017-032	2016-2017	Child Welfare Substance Abuse and Mental Health	*Cost Allocation Plans – Operational Audit* This operational audit of the Department of Children and Families (Department) and selected Community-Based Care Lead Agencies (CBCs) and Behavioral Health Managing Entities (MEs) focused on the preparation, submission, review, and approval of CBC and ME cost allocation plans. The audit disclosed the following: 1) Department procedures for the review of CBC and ME cost allocation plans need improvement to ensure that the plans are appropriately prepared and that Department records evidence adequate review of the plans. 2) The Department did not always ensure that CBC cost allocation plans were timely reviewed or approved. 3) CBC records did not always support the appropriateness or reasonableness of costs included in one CBC cost allocation plan. In addition, some ME cost allocation plans did not accurately describe the methodology used to allocate administrative costs.	1) The Department has enhanced its procedures for the review of CSC and ME cost allocation plans as recommended. Checklists were also created and completed by staff conducting reviews of the Fiscal Year 2016-2017 Cost Allocation Plans for all CSCs and MEs. 2) The Department has implemented a tool for the cost allocation review process that tracks the review timeframe to help ensure the plans are reviewed in accordance with contractual time frames. 3) The Department's Fiscal Year 2016-2017 desk monitoring process will test reports and documentation provided by the CSC or ME against the cost allocation plans for compliance for the methodology approved to allocate costs.	

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2017-009	2016 - 2017	Economic Self-Sufficiency Information Technology Services	*Florida Online Recipient Integrated Data Access (FLORIDA) System – Information Technology Operational Audit* This operational audit of the Department of Children and Families (Department) focused on evaluating selected information technology (IT) controls applicable to the FLORIDA System and included a follow-up on the findings included in our report No. 2016-007. The audit disclosed the following: **Application Controls** 1) The Department had numerous data exchange responses that had not been reviewed and processed and were overdue. Untimely review and processing increases the risk that ineligible individuals may receive benefits. Similar findings were noted in prior audits, most recently in our report No. 2016-007.	1) The Department concurs with this find ing and continues its efforts to eliminate the overdue data exchange (DE) backlog and to improve system controls to ensure DEs are reviewed and processed within the established time frames. Overdue DEs have been reduced from 1.6 mill ion on April 10, 2015 to 1 million on May 18, 2016, representing a decrease of 38 percent. As of July 29, 2016, the number of overdue DEs has been further reduced to 859,540, which is an overall decrease of 46 percent from April 2015 to July 2016. The Department formed a statewide DE workgroup of key stakeholders from the Offices of Economic Self-Sufficiency and Information Technology Services and Operations. The workgroup's efforts are focused on the following: • DE Backlog Clean Up - Each region is committed to eliminating their share of the backlog by September 15, 2016.	

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				• System Controls and Automation Implementation - In order to prevent future backlogs and ensure DEs are processed within timeframes, the system controls and automation will prevent eligibility staff from authorizing benefits prior to processing un-reviewed DEs and are scheduled for implementation on September 26, 2016.	
			Security Controls 2) Documentation supporting authorization of access privileges to the FLORIDA System and the Automated Community Connection to Economic Self-Sufficiency (ACCESS) Management System (AMS) for some employees was missing, incomplete, or incorrect. In addition, the Department did not have written procedures for the security administration of the AMS, thus increasing the risk that AMS access privileges granted to employees may not be commensurate with management's direction. Similar findings were noted in prior audits, most recently in our report No. 2016-007.	2) The FLORIDA Security Guide is being updated to emphasize controls related to the preservation and storage of the Florida Individual Security Information Form (CF 113). The instructions added to the guide will match those already existing in the Department's operating procedure SOP S-12. Once completed, regional security officers will have refresher training to ensure the procedures are understood and followed.	

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				Additionally, existing language in the Department's ACCESS Manageme111t System (AMS) Work Management Guide make it clear that AMS profiles and access are created by and dependent upon the profiles set in FLORIDA/RACF. At the time AMS was released into production, access to the system was generated and determined based on the user's FLORIDA access. As such, Florida Individual Security Information Forms completed prior to the AMS rollout will only reflect the user's FLORIDA System access. Forms complete after the rollout, and a subsequent revision to the form to include reference to AMS, should have the user's AMS access and role identified. Activities undertaken to satisfy Finding No. 3 will address and resolve inconsistencies related to AMS access documentation.	

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			3) The Department had not conducted comprehensive periodic reviews of the appropriateness of user access privileges granted to the FLORIDA System and the AMS. Similar findings were noted in prior audits, most recently in our report No. 2016-007.	3) The Department continues to provide security officers with a daily file from People First of all staff terminating employment. Also, a monthly reconciliation report is provided to and reviewed by the Department's regional security officers. This reconciliation report helps identify staff no longer requiring access to the FLORIDA or ACCESS Management System and have their privileges terminated immediately.	
			4) Certain security controls related to passwords and data transmission and protection of confidential and exempt data for the FLORIDA System, the AMS, and related IT resources continue to need improvement to ensure the confidentiality, integrity, and availability of the FLORIDA System and AMS data and related IT resources. Similar findings were previously communicated to Department management, most recently in connection with our report No. 2016-007.	4) The Department agrees with the finding in principle. An initial evaluation of the finding and prospective solutions indicate remedies would be costly and require substantive application changes and the purchase of additional network equipment The Department is actively evaluating the relevant business needs, cost. and implication of the changes needed and researching potential alternate solutions that may resolve this finding.	

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of Children and Families

Agency Budget Officer/OPB Analyst Name: Amy Kelly / Kate West

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)					
	60900101	60900202	60910310	60910506	60910708	60910950
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)? **(CSDI)**	Y	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? **(CSDI)**	Y	Y	Y	Y	Y	Y
AUDITS:						
1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y	Y
1.4 Has Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? **(CSDR, CSA)**	Y	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above 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. **A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.**						
2. EXHIBIT A (EADR, EXA)						
2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with *Section 3* of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y
3. EXHIBIT B (EXBR, EXB)						
3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	N/A	N/A	N/A	N/A	N/A	Y
AUDITS:						

	Action	Program or Service (Budget Entity Codes)					
		60900101	60900202	60910310	60910506	60910708	60910950
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
3.3	Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? **(EXBR, EXBC - Report should print "Records Selected Net To Zero")**	Y	Y	Y	Y	Y	Y
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.						
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.						
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used.						

4. EXHIBIT D (EADR, EXD)

	Action	60900101	60900202	60910310	60910506	60910708	60910950
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
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						

5. EXHIBIT D-1 (ED1R, EXD1)

	Action	60900101	60900202	60910310	60910506	60910708	60910950
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y
AUDITS:							
5.2	Do the fund totals agree with the object category totals within each appropriation category? **(ED1R, XD1A - Report should print "No Differences Found For This Report")**	Y	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? **(EXBR, EXBB - Negative differences [with a $5,000 allowance] need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? **(EXBR, EXBD - Differences [with a $5,000 allowance at the department level] need to be corrected in Column A01.)**	Y	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.						
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.						
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2016-17 approved budget. Amounts should be positive. The $5,000 allowance is necessary for rounding.						

	Program or Service (Budget Entity Codes)					
Action	60900101	60900202	60910310	60910506	60910708	60910950

6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)

6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y	Y

7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)

		60900101	60900202	60910310	60910506	60910708	60910950
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
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
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
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
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A	N/A	Y	N/A	N/A	N/A
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	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
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	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?	N/A	N/A	N/A	N/A	N/A	N/A
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not be deleted. **(PLRR, PLMO)**	N/A	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A	N/A
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A	Y	N/A	N/A	N/A	N/A
7.16 Do the issue codes relating to special *salary and benefits* issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
7.17 Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	Y	Y	Y	Y	Y
7.18 Are the issues relating to *major audit findings and recommendations* properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y
AUDIT:						
7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? **(GENR, LBR1)**	N/A	N/A	Y	N/A	N/A	N/A
7.21 Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? **(GENR, LBR2)**	N/A	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? **(GENR, LBR3)**	Y	Y	Y	Y	Y	Y
7.23 Have FCO appropriations been entered into the nonrecurring column (A04)? **(GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))**	Y	N/A	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 **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.						
TIP The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 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 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.						
TIP If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).						

		Program or Service (Budget Entity Codes)					
	Action	60900101	60900202	60910310	60910506	60910708	60910950

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.						

8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level *or* SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)

	Action	60900101	60900202	60910310	60910506	60910708	60910950
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y	Y
8.2	Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	Y	Y	Y	Y	Y	Y
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative**;** fixed capital outlay adjustment narrative)?	Y	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling $100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	N/A	N/A	N/A	N/A	N/A	N/A
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to section 215.32(2)(b), Florida Statutes - including the Schedule ID and applicable legislation?	N/A	N/A	N/A	N/A	N/A	N/A
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	Y	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y	Y
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y

		Program or Service (Budget Entity Codes)					
	Action	60900101	60900202	60910310	60910506	60910708	60910950
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y
8.20	Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling $100,000 or more.)	Y	Y	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01, Section III?	Y	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	*The State Fiscal Year 2018-2019 Legislative Budget Request submission date is prior to September 30, 2017. Therefore, the September 30, 2017 reversions will be incorporated into A02 during the technical review.*					
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y
8.27	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A
8.28	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y
AUDITS:							
8.30	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? **(SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")**	Y	Y	Y	Y	Y	Y
8.32	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. **(SC1R, DEPT)**	Y	Y	Y	Y	Y	Y
8.33	Has a Schedule IB been provided for 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
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

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950

TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!	
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.	
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.	
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.	

9. SCHEDULE II (PSCR, SC2)

AUDIT:

		60900101	60900202	60910310	60910506	60910708	60910950
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/A

10. SCHEDULE III (PSCR, SC3)

		60900101	60900202	60910310	60910506	60910708	60910950
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A	N/A	Y	N/A	N/A	N/A
10.2	Are amounts in *Other Salary Amount* 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	Y	Y	Y	Y	Y

11. SCHEDULE IV (EADR, SC4)

		60900101	60900202	60910310	60910506	60910708	60910950
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y
TIP	If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV.						

12. SCHEDULE VIIIA (EADR, SC8A)

		60900101	60900202	60910310	60910506	60910708	60910950
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

13. SCHEDULE VIIIB-1 (EADR, S8B1)

		60900101	60900202	60910310	60910506	60910708	60910950
13.1	**NOT REQUIRED FOR THIS YEAR**	N/A	N/A	N/A	N/A	N/A	N/A

14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)

		60900101	60900202	60910310	60910506	60910708	60910950
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

15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)

		60900101	60900202	60910310	60910506	60910708	60910950
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?	N/A	N/A	N/A	N/A	N/A	N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A	N/A

	Action	Program or Service (Budget Entity Codes)					
		60900101	60900202	60910310	60910506	60910708	60910950
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?	N/A	N/A	N/A	N/A	N/A	N/A
AUDIT:							
15.6	Do the issues net to zero at the department level? **(GENR, LBR5)**	N/A	N/A	N/A	N/A	N/A	N/A
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)							
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. **The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website.** (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:							
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? **(GENR, ACT1)**	Y	Y	Y	Y	Y	Y
16.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? **(Audit #1 should print "No Activities Found")**	Y	Y	Y	Y	Y	Y
16.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? **(Audit #2 should print "No Operating Categories Found")**	Y	Y	Y	Y	Y	Y
16.6	Has the agency provided the necessary standard (Record Type 5) for all activities which should appear in Section II? (Note: **Audit #3** will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y	Y
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? **(Audit #4 should print "No Discrepancies Found")**	Y	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)							
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
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y	Y
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y
17.4	Does the LBR include a separate 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: **IT@LASPBS.STATE.FL.US?**	N/A	Y	N/A	N/A	N/A	N/A
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable)?	Y	N/A	N/A	N/A	N/A	N/A
AUDITS - GENERAL INFORMATION							

	Action	Program or Service (Budget Entity Codes)					
		60900101	60900202	60910310	60910506	60910708	60910950
TIP	Review *Section 6: Audits* 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.						
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)							
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	N/A	N/A	N/A	N/A	N/A
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	N/A	N/A	N/A	N/A	N/A
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	N/A	N/A	N/A	N/A	N/A
18.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	Y	N/A	N/A	N/A	N/A	N/A
18.5	Are the appropriate counties identified in the narrative?	Y	N/A	N/A	N/A	N/A	N/A
18.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	Y	N/A	N/A	N/A	N/A	N/A
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.						
19. FLORIDA FISCAL PORTAL							
19.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y