



State of Florida
Department of Children and Families

Rick Scott
Governor

Rebecca Kapusta
Interim Secretary

LEGISLATIVE BUDGET REQUEST

October 19, 2018

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

Eric Pridgeon, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, FL 32399-1300

Cindy Kynoch, Staff Director
Senate Committee on Appropriations
201 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 proposed needs for the 2019-20 Fiscal Year.

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

Sincerely,

Rebecca Kapusta
Interim 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 2019-2020

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 2019-20. 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 and two residential areas where it is preferred that incumbents possess a CNA license. The individuals served on these four living areas (13-1E, 13-1W, 32N, and 32S) are medically complex, in addition to being diagnosed with severe and persistent mental illness. In order to provide care for these complex and 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 as a CNA by the State of Florida.

Florida State Hospital (FSH) has two residential units (Specialty Care Unit and Medical Services Unit) where the majority of residents 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 preferred, although not required. Staff who hold a CNA license have received extensive training and have passed both a written and practical exam in order to be licensed as a CNA by the State of Florida. The justification is as follows:

1. This pay additive is necessary for employee retention in these work locations. The additional training and extensive skills of a CNA which are also in demand by outside nursing homes, medical hospitals, and numerous other facilities. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. This additive will be in effect from the first day the employee is assigned to one of the designated living areas.
3. This additive will be effective until the employee leaves that position/designated living area.
4. NEFSH employees will receive a five percent (5%) pay additive. For FSH, these employees will receive this pay additive in addition to the Temporary Special Duty additive described below.

5. For NEFSH, includes a total of 110 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II

For FSH, includes a total of 165 F.T.E. Career Service positions in the following classifications:

- Human Service Worker I
- Human Service Worker II
- Unit Treatment and Rehabilitation Specialist

6. At NEFSH, this additive has been provided for at least the past 13+ years.
7. The annual cost at NEFSH is approximately \$136,802.52. The annual cost at FSH is approximately \$188,788.64.
8. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME agreement states, "Pay shall be in accordance with the Fiscal Year 2018-2019 General Appropriations Act and other provisions of state law." DCF has a past practice of providing these pay additives to bargaining unit employees.

Temporary Special Duty Additive

The Specialty Care Unit (SCU) at Florida State Hospital (FSH) is a 168 bed residential unit which serves a diverse population of individuals requiring mental health treatment as well as geriatric and long term care. This geriatric population is frequently composed of individuals with a variety of medically complex conditions in addition to their primary diagnosis of mental illness. Thirty-four (34) beds within this geriatric population are certified as a 'distinct part' by the Centers for Medicare and Medicaid Services and require significant health care resources. The distinction of certification offers a higher degree of state and federal agency oversight for provision of care. The higher level of care required for the resident population also offers great challenges in terms of staffing the unit. Employees hired frequently request transfer to another residential unit soon after hire, creating a perpetual staffing shortage that has been difficult to stabilize. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these work locations. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. The employees will receive a five percent (5%) pay additive.
3. This additive will be effective until the employee leaves the position/designated area.
4. Includes a total of 146 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II
 - Unit Treatment & Rehabilitation Specialist
5. This additive was previously approved and provided for the past 13+ years for positions under the original agreement/implementation plan. Three FTEs continue to receive the special duty additive (2 Unit Treatment & Rehabilitation Specialists and 1 Human Service Worker I).
6. Annual cost is approximately \$166,104.34.
7. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME Agreement states "Pay shall be in accordance with the Fiscal Year 2018-2019 General Appropriations Act and other provisions of state law." DCF has a past practice of providing these pay additives to bargaining unit employees.

The Medical Services Unit (MSU) at FSH provides in-patient, emergency, out-patient, ancillary, and after-hours partial pharmacy services to residents of FSH and the Developmentally Disabled Defendant Program with the Agency for Persons with Disabilities. The individuals served in this unit are medically unstable and require inpatient medical care, in addition to being diagnosed with severe and persistent mental illness. In-patient medical care is provided on a 24-bed medical ward and is staffed with a full-time physician, registered nurses and direct services staff across three shifts. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these work locations. The agency requests approval to offer this pay additive to employees who are hired into these units.
2. The employees will receive a five percent (5%) pay additive.
3. This additive will be effective until the incumbent leaves the position/designated area.
4. Includes a total of 19 F.T.E. Career Service positions in the following classifications:
 - Human Service Worker I
 - Human Service Worker II
5. Annual cost is approximately \$22,684.30.
6. The classes included in this plan are represented by AFSCME Council 79. Article 25, Section 1 of the AFSCME Agreement states "Pay shall be in accordance with the Fiscal Year 2018-2019 General Appropriations Act and other provisions of state law." DCF has a past practice of providing these pay additives to bargaining unit employees.

Child Protective Investigation Weekend Unit Pay Additive

Child Protective Investigations is an area 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. 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. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these units. Offering additional compensation for working in a "weekend unit" has significantly improved morale and retention.
2. These additives will be in effect from the first day the incumbent is assigned to the position.
3. This additive will be effective until the employee leaves that position or the position is moved to standard workweek schedule.
4. The employees will receive a five percent (5%) pay additive.
5. Includes a total of 66 F.T.E. Career Service positions in the following classifications:
 - Senior Child Protective Investigator
 - Child Protective Investigator
 - Support Staff Positions
6. This additive has been provided for the past 4 years.
7. Annual cost is approximately \$134,669.45.

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 2018-2019 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 Hotline Weekend Unit Pay Additive

Abuse Hotline is an area operating 24 hours a day, 7 days a week and is responsible for receiving and assessing allegations of abuse, neglect or abandonment of children, and abuse, neglect of exploitation of vulnerable adults. The Hotline determines if the information meets statutory criteria for an investigation of referral to an appropriate agency. Employees enter abuse reports in the appropriate information system and research appropriate information systems to determine prior history to assist in the safety and risk assessment of alleged victim. The justification is as follows:

1. This pay additive is necessary in order for employee retention in these units. Offering additional compensation for working in a "weekend unit" has significantly improved morale and retention.
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%) pay additive.
5. Includes a total of 37 F.T.E. Career Service positions in the following classifications:
 - Abuse Registry Counselor
6. These pay additives have been provided for the past 5 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 2018-2019 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 Shelby Jefferson, Interim HR Director, at (850) 717-4548 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:	John Jackson	Phone Number:	850-921-8675
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<p>H.G. and M.G. through their next friend ROBERT LATHAM, C.P. through his next friend PAULA VELAZQUEZ, L.T. through her next friend ROBERT LATHAM, F.C. through his next friend STEWART COOKE, S.A. through her next friend STEWART COOKE, and N.K. through her next friend BERNARD PERLMUTTER, for themselves and those similarly situated.</p> <p style="text-align: center;">Plaintiffs,</p> <p style="text-align: center;">v.</p> <p style="text-align: center;">MIKE CARROLL, in his official capacity as Secretary of the Florida Department of Children and Families.</p> <p style="text-align: center;">Defendant.</p>		
Court with Jurisdiction:	U.S District Court, Northern District, Tallahassee Division		
Case Number:	4:18-cv-00100-RH/CAS		
Summary of the Complaint:	<p>This is a proposed CLASS ACTION lawsuit, filed in the US District Court in the Northern District of Florida, Tallahassee Division. The Plaintiffs ask the Court to enter permanent INJUNCTIVE relief regarding integral functions of the child welfare system in Monroe and Dade Counties (aka the Southern Region), under the supervision of a federal monitor. The complaint seeks the Court to certify the action as a Class Action as to all children in, or who enter, the foster care system in the Southern Region, and subclasses to include: infants and toddlers and those with mental health needs. Integral functions include increased assessments, placement options, and services array available to the General Class and two subclasses.</p>		
Amount of the Claim:	Plaintiffs seek declaratory and injunctive relief and attorney fees and costs.		
Specific Statutes or Laws (including GAA) Challenged:	42 U.S.C. §1396a; 42 U.S.C. §. 1396d(r)(1)(A), (B); 42 U.S.C. § 1396d(r)(5) Fla. Stat. Ann., § 409.996(13).		
Status of the Case:	DCF was served on February 21, 2018. The Parties have received stays from the Federal Court while they attempt to reach settlement. A Joint Motion to Extend the Stay until October 31, 2018 was granted.		

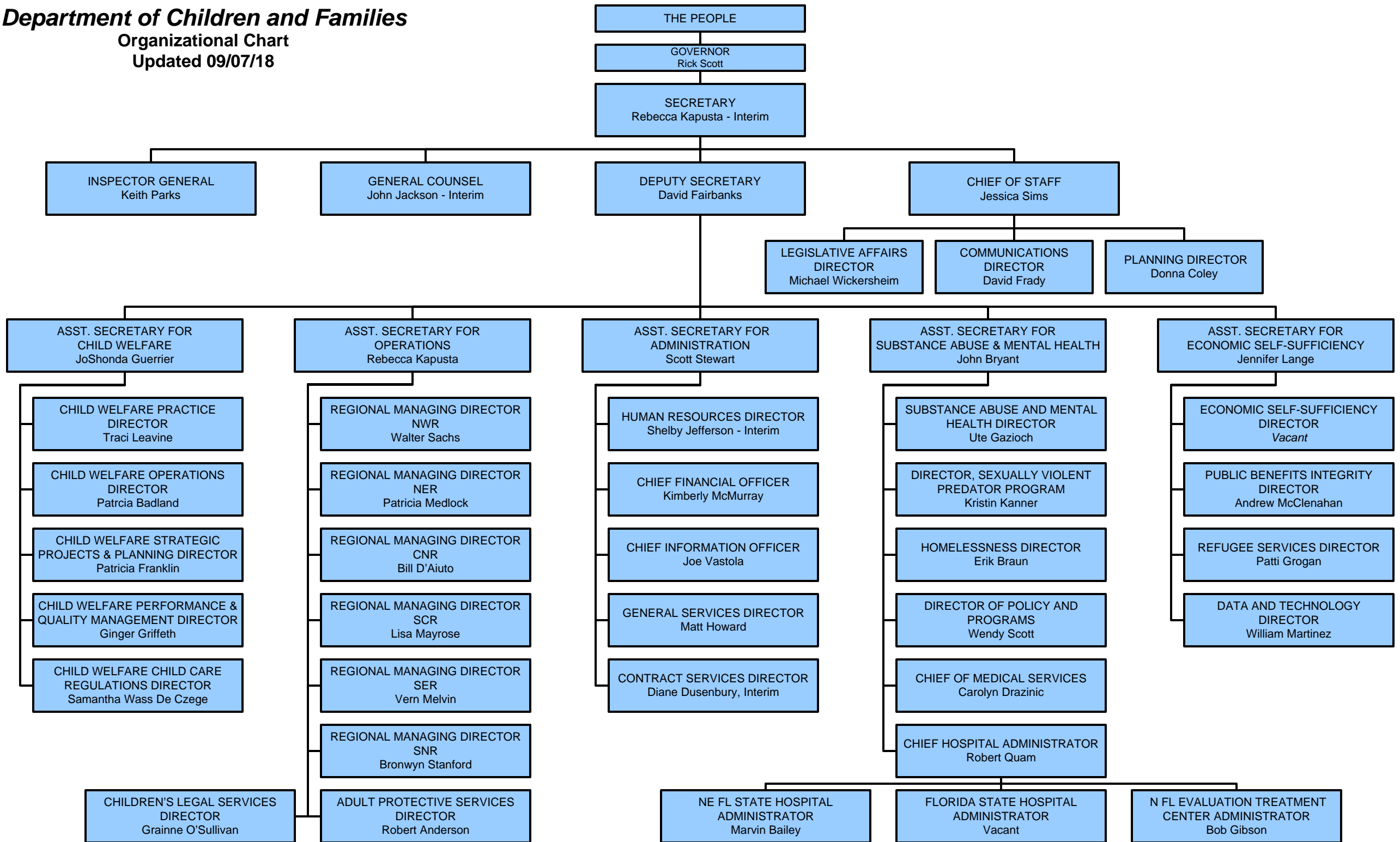
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management
	<input checked="" type="checkbox"/>	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Children's Rights and Baker McKenzie represent the Plaintiffs and proposed Class.	

Office of Policy and Budget – June 2018

Department of Children and Families

Organizational Chart

Updated 09/07/18



CHILDREN AND FAMILIES, DEPARTMENT OF		FISCAL YEAR 2017-18			
SECTION I: BUDGET		OPERATING		FIXED CAPITAL OUTLAY	
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		3,146,459,308		8,688,550	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		60,323,151		-885,000	
FINAL BUDGET FOR AGENCY		3,206,782,459		7,803,550	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)					7,803,550
Protective Services * Number of people receiving protective supervision, and protective intervention services and number of investigations completed		58,299	841.32	49,048,289	
Healthy Families * Number of families served in Healthy Families		9,682	2,931.24	28,380,263	
Protective Investigations * Number of investigations		196,430	1,218.79	239,406,012	
In-home Supports * Number of children under protective supervision (point in time)		6,188	55,146.23	341,244,869	
Out-of-home Supports * Number of children with a goal of adoption who remain in out-of-home care after 24 months.		3,373	100,453.82	338,830,732	
Child Welfare Legal Services * Number of termination of parental rights petitions filed		6,683	8,659.58	57,871,975	
Emergency Shelter Supports * Number of adults with a safety plan upon leaving domestic violence shelter after 72 hours		6,464	6,902.71	44,619,145	
Report Intake, Assessment And Referral * Number of calls to the Florida Abuse Hotline		449,867	53.35	24,000,840	
Adoption Subsidies * Number of children receiving adoption subsidies		39,023	5,145.06	200,775,868	
Adoption Services * Children receiving adoptive services		6,967	6,904.65	48,104,702	
License Child Care Arrangements * Number of facilities and homes licensed		5,993	3,429.00	20,549,975	
Daily Living * Number of qualified disabled adults (ages(18 - 59) in the CCDA, ADA Medicaid Waiver Programs, and Consumer Directed Care Medicaid Waiver		438	4,548.67	1,992,317	
Home Care For Disabled Adults * Number of qualified disabled adults (ages 18 - 59) in the HCDA Program		1,203	1,567.14	1,885,264	
Emergency Stabilization * Number of children served		2,471	2,077.75	5,134,126	
Emergency Stabilization * Number of adults served		32,065	2,881.88	92,407,340	
Provide Forensic Treatment * Number of adults in forensic commitment served		3,331	51,154.90	170,396,964	
Provide Civil Treatment * Number of people in civil commitment served		1,774	116,471.01	206,619,567	
Community Support Services * Number of children served		34,128	1,986.72	67,802,610	
Community Support Services * Number of adults with forensic involvement served.		4,595	80,691.50	370,777,436	
Assessment * Number of sexual predators assessed		4,017	8,485.38	34,085,791	
Detoxification * Number of children served		1,058	761.54	805,709	
Treatment And Aftercare * Number of children with substance-abuse problems served		25,572	1,583.54	40,494,224	
Detoxification * Number of adults provided detoxification and crisis supports		20,553	3,308.30	67,995,445	
Prevention * Number of at-risk adults provided prevention services		270,318	203.04	54,884,921	
Benefit Recovery/Error Rate Reduction * Return on investment from fraud prevention/benefit recovery		29,964,423	0.57	16,947,440	
Refugee Assistance * Number of refugee clients served		47,562	1,213.50	57,716,420	
Issue Optional State Supplementation Payments * Number of applications processed for Optional State Supplementation payments		256	37,173.34	9,516,375	
Homeless Assistance * Number of grants issued for homeless clients		44,283	390.89	17,309,571	
Eligibility Determination/Case Management * Number of cash assistance payments		650,502	559.17	363,742,439	
Issue Welfare Transition Program Payments * Total number of cash assistance applications		288,831	476.11	137,514,692	
TOTAL				3,110,861,321	7,803,550
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS				9,642,041	
OTHER					
REVERSIONS				86,279,090	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				3,206,782,452	7,803,550

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? <input type="checkbox"/> Yes <input type="checkbox"/> No
FY 2019 - 2020 LBR Issue Code:	FY 2019 -2020 LBR Issue Title:
Agency Contact for Schedule XII (Name, Phone #, and E-mail address):	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule XII in support of our legislative budget request. I have reviewed and agree with the information in the attached Schedule XII.	
Agency Head:	Date:
Printed Name:	
Agency Chief Information Officer: <i>(If applicable)</i>	Date:
Printed Name:	
Budget Officer:	Date:
Printed Name:	
Planning Officer:	Date:
Printed Name:	
Project Sponsor:	Date:
Printed Name:	

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

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

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

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

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

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

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

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

1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2018 contain revenue or expenditure estimates related to your agency?

Yes No

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2019-2020 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2019-2020 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	Base	R & B	0.0	3166.6
b	State Mental Health Facilities - see line v	B	4.8	0.0
c	Step-Down Forensic Beds	B	1.2	0.0
d	Substance Abuse and Mental Health Statewide Initiatives - see line x	B	37.9	0.0
e	Homeless Coalitions	B	0.4	0.6
f	Adoption Incentive Award	B	1.0	0.0
g	Community Based Care - see line u	B	22.8	0.0
h	Community Based Care Risk Pool	B	15.0	5.0
i	Foster Care - Cost of Living	B	0.5	0.7
j	Maintenance Adoption Subsidy Growth	B	5.1	29.2
k	Sheriff's Grants	B	0.7	4.8
l	Domestic Violence	B	2.1	0.0
m	AG Contract for Child Welfare Services	B	0.3	0.5
n	Private Mental Health Facilities COLA	B	3.4	1.0
o	Juvenile Incompetent to Proceed	B	0.2	0.4
p	Maintenance and Repair	B	1.8	11.0
q	FSFN Cloud Conversion	B	3.5	3.0
r	SACWIS/FSFN	B	4.4	0.0
s	Executive Direction & Support Services -3200200 "Delete Recurring Budget Authority for Bengochea Relief"	B	0.0	-1.0
t	Information Technology -36312C0 "Substance Abuse and Mental Health Financial and Service Accounting System" -36335C0 "Federal Information Security and Privacy for Minimum Acceptable Risk Standards for Exchanges (MARS-E)" -36350C0 "Expanded Public Assistance Fraud Detection Capabilities"	B	0.0	6.8
u	Family Safety & Preservation Services -1704010 "Transfer Fostering Success Pilot Project From the Department of Agriculture and Consumer Services" -3000560 "Children's Legal Services (CLS) Staffing Attorneys to Improve Out-of-Home Care and Permanency Results" -3200300 "Delete Unfunded Federal Grants Trust Fund Due to Title IV-E Waiver Expiration" -36380C0 "On-line Child Care Application" -4001260 "Enhanced Services for Human Trafficking Victims" -4002010 "Path Forward Funding Gap" -4002030 "Title IV-E Guardianship Assistance Program Payments" -4002070 "Community Based Care Safety Management Services Restoration" -4002220 "Title IV-E Extended Foster Care (EFC) - Annualization" -4005000 "Community Based Care Lead Agency Increased Cost of Insurance" -4007300 "Specialized Treatment Programs for Dually Served Youth and Families" -4007400 "Title IV-E Guardianship Assistance Implementation" -4008210 "Evidence-Based Enhanced Behavioral Health and Parenting Outpatient Services for Parents in the Child Welfare System" -4008220 "Expand Service Provision - The Modular Approach to Therapy for Children with Anxiety, Depression, Trauma, or Conduct Problems (MATCH)" -4008230 "Kinship Navigator Grant Program Funding" -4008240 "Adoptive and Foster Home Recruitment and Support Services" -4008250 "Shared Client Funding Pilot for Child Placement and Services" -4008260 "Expansion of Family Finders to Address Permanency" -4008300 "Child Abuse Prevention and Treatment Act (CAPTA) Grant Budget Authority" -4402070 "Results Oriented Accountability and Data Analytics"	B		57.3
v	Mental Health Services -4000050 "Expand Capacity and Improve Services and Treatment at West Florida Community Care Center" -4000120 "Implement Anti-Ligature Improvements to Comply with Federal Regulation" -4000340 "Increase Security Capacity at Florida State Hospital and Northeast Florida State Hospital" -4000390 "Funding Increase for Operations at South Florida State Hospital" -4000A50 "Increase Mental Health Treatment Facility Critical Position Salaries" -990C000 "Code Corrections" -990F000 "Support Facilities"	B		27.1

w	Economic Self-Sufficiency Services -3000170 "OPS Benefit Recovery Staff Augmentation for Trafficking" -4000360 "Supplemental Nutrition Assistance Program (SNAP) Employment and Training Third Party Partners" -4000420 "Supplemental Nutrition Assistance Program (SNAP) Education Continuation Funding" -4000500 "ACCESS Florida Future System Plan" -4007220 "Nonrelative Care Giver (NRC) Program Restore" -4402080 "Automated Employment and Income Verification"	B		24.4
x	Community Substance Abuse & Mental Health Services -4001320 "Behavioral Health Consultants to Assist Child Protective Investigators" -4001360 "State Opioid Response Grant Budget Authority Request" -4001370 "Expansion of Florida Healthy Transitions Programs" -4001380 "Forensic Community Transitional Beds" -4001390 "Increase in Community Mental Health Block Grant" -4001400 "Managing Entity Operational Integrity" -4001410 "Increase in Community Substance Abuse Prevention and Treatment Block Grant" -4004950 "Adult Mental Health Florida Assertive Community Treatment Team Increase" -4004980 "Increasing Employment Opportunities for Individuals with Mental Illnesses" -4005150 "Children's Community Action Teams" -4600310 "Family Intensive Treatment Teams"	B		87.4

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

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

* R/B = Revenue or Budget Driver

Office of Policy and Budget - June 2018

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

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

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



BUDGET ENTITY LEVEL EXHIBITS & SCHEDULES

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

For Fiscal Year 2019-20



October 2018

THE DEPARTMENT OF CHILDREN AND FAMILIES

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I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of Children and Families	Schedule IV-B Submission Date:
Project Name: The Fraud Triage and Case Management Technology	Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
FY 2019-20 LBR Issue Code: 00000C0	FY 2019-20 LBR Issue Title: The Fraud Triage and Case Management Technology
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Coleen Birch (850)717-4451 Coleen.Birch@myflfamilies.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head:	Date: 10/19/18
Printed Name: Rebecca Kapusta	
Agency Chief Information Officer (or equivalent):	Date: 10/17/18
Printed Name: Joseph Vastola	
Budget Officer:	Date: 10/17/18
Printed Name: Randy Pupo	
Planning Officer:	Date:
Printed Name:	
Executive Project Sponsor:	Date: 10/17/18
Printed Name: Jennifer Lange	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Coleen Birch
Cost Benefit Analysis:	Coleen Birch
Risk Analysis:	April F. Posey
Technology Planning:	Coleen Birch
Project Planning:	April F. Posey

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

A. Background and Strategic Needs Assessment

1. Business Need

The Office of Public Benefits Integrity (PBI) is responsible for investigating public assistance fraud or misuse in the food assistance (SNAP), cash assistance (Temporary Assistance to Needy Families—TANF), and Medicaid programs, as well as recovering benefit overpayments. PBI reports to DCF’s Assistant Secretary of Economic Self-Sufficiency (ESS) and works cooperatively with the ESS Program Office, the Department of Financial Services’ (DFS) Division of Public Assistance Fraud (DPAF), other Florida agencies, the federal government, local/state/federal law enforcement, and the public.

There are two programs in PBI: Benefit Investigations (BI) and Benefit Recovery (BR). Both programs work to ensure that customers only receive, or keep, the amount of benefits to which they are entitled. While BI works in the present and the future to stop over issuance of benefits before they can occur, BR works in the past to recover benefits that have already been issued due to fraud or error. BI and BR work together to pursue Administrative Disqualification Hearings (ADH) when attempted or past fraud is found.

Public assistance fraud occurs in two ways in the application process: (1) identity theft and (2) eligibility fraud. Identity thieves use stolen or compromised Personal Identification Information to fraudulently apply for benefits in that person’s name, have the benefits sent to a specific address/location, and usually sell or “traffic” their benefits for cash. Eligibility fraud occurs when a client provides false information relating household income, household composition, or residency (to name a few) to intentionally circumvent eligibility policies for various public assistance programs. The PBI is responsible for creating fraud-prone profiles, investigating applicants suspected of fraud, and recovering overpayment of benefits in food, cash, and Medicaid assistance.

Applicants for public assistance complete an online application via the ACCESS Customer Portal (also known as the self-service portal or SSP). They have the opportunity to verify and confirm their identity using the online identity verification/ customer authentication (IV/CA) service; if they opt-out of the service or fail to authenticate, an ESS eligibility worker must verify their identity through a manual process. Recipients also go through this process periodically to “recertify” their eligibility for benefits (e.g., six months for food assistance and temporary cash assistance and 12 months for Medicaid).

When an ESS worker finds the circumstances presented by the applicant or recipient to be questionable or suspicious, they use the Florida Online Recipient Integrated Data Access (FLORIDA) system to refer the case to BI for review and follow-up. In FY 2017-18, BI supervisors reviewed and rejected approximately 73 percent of them for various reasons. The remaining referrals are assigned for investigation. If fraud is found in a case that has not been approved for benefits, the BI worker documents the findings and contacts the ESS eligibility worker to reduce or deny benefits. If fraud is found in a case that has already received benefits (e.g., in review for recertification), BI takes the appropriate action on the case and then refers it to DPAF for follow-up investigation and benefit recovery.

Current front-end public assistance fraud detection is dependent on ESS eligibility workers’ referrals and Excel spreadsheets containing ad hoc data reports identifying cases with suspicious circumstances. PBI staff also receive fraud referrals through the Public Assistance Fraud Reward Program (s. 414.39(11), F.S.). Often benefits are approved before investigations can be completed and fraud is discovered, resulting in the department having to collect any overpayment of benefits from the recipient. This “pay and chase” model is a costly and inefficient mode of operation. The department needs a better, more systematic way of identifying fraud before benefits are approved.

The PBI currently does not have a way to track and monitor a fraud case from beginning to end. Case management records are largely limited to narrative comments, which require duplicate entries in ACCESS Integrity (AI) Online, FLORIDA system, and the Integrated Benefit Recovery System (IBRS) and are not easily searched or tracked. PBI staff must cull through data from as many as 10 different systems in order to investigate and properly establish a case or benefit recovery claim. Business process consultants have estimated that navigation between multiple systems accounts for 50-60 percent of the time it takes to process a case.

Case tracking is particularly difficult because s. 414.411, F.S., requires the DPAF to investigate all cases in which public assistance benefits may have been fraudulently obtained. DPAF can pursue cases using criminal or administrative prosecutions. If DPAF does not accept a referral for criminal or administrative action, then PBI may

pursue an administrative action on the case. Before criminal or administrative action can move forward, BR must determine the amount of benefits that were paid and thus fraudulently obtained by the recipient. Once a case involving an overpayment of benefits has been decided (or dropped) by DPAF or BI, BR initiates collection activity. All these hand-offs and processes introduce opportunities for cases to “fall through the cracks” and collections (and associated state revenue) to be delayed. Cases that originated from a fraud report through the Fraud Reward Program must be manually monitored and tracked to verify the conditions for payment of a reward are met.

2. Business Objectives

The business objectives of the PBI are to combat public assistance fraud and reduce misspent dollars in public assistance programs, and to accurately and efficiently recover any overpaid benefits that have been fraudulently obtained. The goal for this project is to implement a fraud detection solution to deter and detect public assistance fraud and modernize the investigative lifecycle through an integrated case management platform.

B. Baseline Analysis

1. Current Business Process(es)

The BI process begins with referrals for potential fraud or misuse involving public assistance. Referrals can originate from eligibility workers, citizen fraud complaints, or internal PBI data analytics. BI staff investigates potential fraud or discrepancies in the information reported by applicants. If fraud has caused past overpayment of benefits, the case must be referred to DPAF. DPAF investigates and supports the prosecution of public assistance fraud cases. If DPAF does not accept a referral for criminal or administrative action, then BI may pursue an Administrative Disqualification Hearing (ADH) on the case. Clients who waive their right to an administrative hearing are disqualified from receiving food or cash assistance benefits for a specified period of time.

Pursuant to s. 414.39(10), F.S., the department is required to create error-prone or fraud-prone case profiles to screen applications for public assistance. BI performs this function, and works with front-end eligibility processors to identify applications that meet these profiles to detect and prevent individuals from receiving benefits through fraudulent means.

Benefit investigators are tasked with collecting vast amounts of information and creating evidence packets that often develop into cases sent to DPAF for criminal prosecution or to the Office of Appeal Hearings (OAH) for ADH proceedings. While most BI referrals come from ESS eligibility staff, BI also receives investigation “leads” from ad hoc reports, data analytics, and reports from vendors and other agencies to identify and stop public assistance fraud. Examples of useful reports include but are not limited to lists of individuals who are incarcerated and receiving benefits, and recipients who have used Florida public assistance benefits in other states for 180 days or more.

The Public Assistance Fraud Reward Program requires DCF to pay a reward to members of the public who provide and report original information relating to a criminal violation of the state’s public assistance fraud laws resulting in a fine, forfeiture, or penalty, unless the reward is declined. The complaint can also be received by the Florida Department of Law Enforcement or DFS. Reports of potential fraud can be submitted through the Internet, fax, or phone. When the department receives a report, the Fraud Reward Assessment Team (FRAT) reviews the report and attempts to match it with a case in FLORIDA. If the case is open and requires follow-up, the FRAT refers it to BI for investigation; if the case is closed and involves potential fraud, the FRAT refers it to DPAF for investigation. Any reward under this program is subject to availability of funds and may not exceed ten percent of the amount recovered or \$500,000, whichever is less, in a single case. An individual who receives a reward based on a complaint reported through the Public Assistance Fraud Reward Program is not eligible to receive additional rewards through the Florida False Claims Act for Medicaid Fraud.

The FRAT also monitors social networking sites and digital classifieds for solicitations to buy or sell EBT food stamp benefits. This is an illegal activity that raises the ire of the public and leads to the perception that public assistance programs are laced with fraud. While these cases are infrequent, the PBI must maintain vigilance to mitigate this very visible form of trafficking.

PBI’s Centralized Special Investigations (CSI) Unit operates out of the Miami office and deals with identity theft and other matters of statewide interest. Although automated identity verification tools have helped to deter potential identity thieves from applying for benefits, criminals continue to actively search for new ways to defeat the current safeguards. The CSI Unit monitors applications from areas at high-risk for identity theft to stop fraudulent

applications that have circumvented technological and staff screening from being approved. Once new fraud trends and criminal activities are identified, the unit runs specific queries to locate additional cases of potential fraud. The CSI Unit also works with other states on multi-state fraud investigations and assists DPAF and law enforcement by providing subject matter expertise on identify theft, including testimony at criminal trials. The CSI Unit receives identity theft referrals from five major sources:

- ESS eligibility staff
- Data analytics from the PBI Program Improvement Unit
- EBT vendor (FIS e-Funds) ad hoc reports
- United States Department of Agriculture (USDA) Food and Nutrition Services (FNS) Retailer Reports/ USDA Office of Inspector General Investigations
- Complaints received through the Fraud Reward Program www.myflfamilies.com/ReportFraud.

The BR program acts on information from BI and DPAF as well as referrals from the ESS program and the FRAT. Discrepancies can result from an error made by the recipient or the department, or from intentional fraud. When BR receives a referral, a Claims Examiner reviews the case and establishes a claim if an overpayment has occurred. Claims Examiners must work referrals within 180 days from the date they come into IBRS to be considered timely.

Specialized Claims Examiners review and establish BR claims for cases being considered for criminal proceedings by States Attorney Offices (SAOs). These staff also coordinate and attend ADH proceedings, and act as a witness for the state in welfare fraud court cases and during any preparatory actions undertaken by a SAO, defendant's attorney, or court official.

Overpayments can occur due to three types of errors: Agency Error (AE), client Inadvertent Household Error (IHE), and fraud or Intentional Program Violation (IPV). In addition to client error, many IHEs involve unproven fraud allegations. DCF is permitted to retain a share of recoveries relating to IHE and IPV for food assistance, and for all three types of errors for cash assistance and Medicaid overpayment collections. The retained portion of BR collections (known as "state retained share") is returned to the department's Federal Grants Trust Fund to be used as General Revenue.

PBI uses a variety of collection methods to recover overpaid benefits. These sources include:

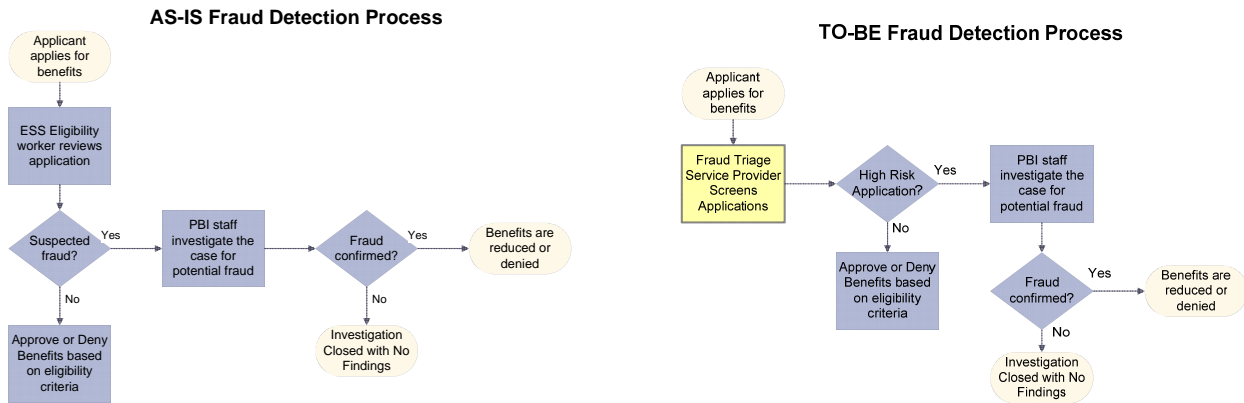
- Treasury Offset Program (TOP) – Intercepts Income Tax/Federal Payment
- Recoupment – Reduction of current benefits
- Cash Payments – Voluntary payments collected by a private sector vendor pursuant to s. 414.36(1), F.S.
- Probation and Parole – Court-ordered restitution
- Lottery – Intercepts of lottery winnings
- Employee Payroll Deductions – Voluntary payments deducted from state employee salaries

2. Assumptions and Constraints

- a. Assumptions
 - ESS eligibility workers are trained to identify potentially fraudulent applications for public assistance.
 - ESS will not implement a fully modernized eligibility system that would provide needed case management functionality before FY 2021-22.
 - Products and services to meet the department's requirements can be obtained for the requested funding. (Note: This will not be known until procurement is complete.)
- b. Constraints
 - PBI Benefits Investigations has 55 full-time investigative staff and five OPS staff for the FRAT team to screen and handle 15,898 fraud referrals and 2,090 fraud reports, respectively.
 - PBI has limited access to funding for needed system changes; the entire ESS program typically has a total of \$2 million per year for system maintenance and enhancements.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements



The proposed project will meet the following business process objectives:

- implement a fraud detection solution to deter and detect public assistance fraud
- enable the systematic and efficient identification of cases with a high risk of potential fraud before benefits are approved
- allow ESS workers to focus on their mission of determining eligibility and PBI workers to focus on detecting, investigating, and preventing fraud
- pre-screen fraud referrals so PBI investigative staff are more productive and spend less time reviewing cases that do not involve fraudulent behavior
- leverage eligibility, recipient, Electronic Benefit Transfer (EBT) transactions and 3rd party data in a single platform
- monitor and track case outcomes from investigations, prosecutions and administrative actions, through collection activities and final benefit recovery
- accurately and efficiently recover any overpaid benefits that have been fraudulently obtained
- modernize the investigative lifecycle with a case management platform integrated with fraud triage results.

2. Business Solution Alternatives

Many companies offer fraud detection software and services that have been deployed in private sector industries (e.g., insurance, banking, credit cards, etc.) for many years. In the past few years, commercial products and services specifically tailored for the government sector came into the market. Previous data mining solutions have moved from the back-end processes to provide more real-time front-end processing that can produce real value in identifying potentially fraudulent applications very early in the process.

The solutions vary from web services and cloud-based solutions to on premise software solutions. There are clear advantages and disadvantages to each of these options. The department intends to conduct a procurement that would entertain any of these options to meet its specific business and functionality requirements.

3. Rationale for Selection

Project Goal 1: Fraud Detection Service - Leverage eligibility, recipient, Electronic Benefit Transfer (EBT) transactions and 3rd party data in a single platform.

Project Goal 2: Modernize DCF's Business Process – Proactively flag and triage instances of potential fraud, create scorecards and investigate leads to improve the efficiency of limited program integrity resources.

Project Goal 3: Investigative Case management – Monitor and track case outcomes from investigations, prosecutions and administrative actions, through collection activities and final benefit recovery.

4. Recommended Business Solution

The requested funds will implement a front end “triage” predictive data analytical solution that could be provided by a third party contractor or service provider via a web-based application and/or service. This solution will enable the systematic and efficient identification of cases with a high risk of potential fraud before benefits are approved. It will allow ESS workers to focus on their mission of determining eligibility and PBI workers to focus on detecting, investigating, and preventing fraud.

The proposed solution must be able to receive real-time and batch files from multiple sources to perform fraud analytics in a single platform and train predictive models and rule-based indicators to perform the following functions:

- differentiate the characteristics and behaviors of bad actors from normal participants in public assistance programs over time
- identify transaction anomalies as well as patterns, clusters, and trends that may indicate fraud or other collusive activities.
- detect and flag anomalous and suspect activity to help identify high-risk groups of recipients and collusion with retailers.
- identify high-risk, high value targets for department intervention.

The solution must return alerts, flags, and risk scores for display on the dashboard to indicate cases recommended for investigation. It must have flexible configurations of tiers and ranking flags, adjustment capability for fraud risk scores, and customizable composite alerts so PBI can prioritize efforts and resources where they will be most effective.

Enforcement capacity and business processes must be factored into determining what types of cases to prioritize for investigation. Fraud detection alerts must be configurable based on PBI requirements, must be clear and simple, and must integrate into the current process. For example, the solution must allow screening of applicants with a sliding scale of risk.

The solution must provide the capabilities to analyze referrals and cases using pre-integrated third-party data sets and serve fraud detection alerts and flags through an easy to use, intuitive dashboard. The dashboard must display search results, configurable alerts, analysis, interactive geospatial maps, and suspect profiles. It also must have the capability to add notes, save and print results and diagrams to build a case for prosecution.

The case management system must have seamless integration with triage dashboard. Cases must be able to easily be created in the fraud dashboard and worked in the case management system. The solution must support referral intake, effective referral assessment, assignment, investigation, case development, and monitoring of referrals as they move through the milestones in the life cycle of a fraud case. It must track cases from FRAT report or referral through investigation, criminal or administrative prosecution, and repayment/collection of the benefits owed.

D. Functional and Technical Requirements

Functional Requirements	
<i>Fraud Triage Requirements</i>	
1	Must be able to receive and analyze real-time and batch files, including online application data, alerts and other meta data about applications, and leverage pre-integrated third-party data sets to assess risk, indicate anomalies, and recommend cases of potential fraud for investigation.
2	Must be able to use current and historical data to perform fraud analytics in a single platform.
3	Must have flexible configurations of tiers and ranking flags and configurable fraud detection alerts based on customer requirements.
4	Must be able to “train” rule-based flags to perform the following functions: <ul style="list-style-type: none"> • differentiate the characteristics and behaviors of bad actors from normal participants in public assistance programs over time • identify transaction anomalies as well as patterns, clusters, and trends that may indicate fraud or other collusive activities • detect and flag anomalous and suspect activity to help identify high-risk groups of recipients and collusion with retailers

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

Functional Requirements	
	<ul style="list-style-type: none"> identify high-risk, high value targets for department intervention.
5	Must have customizable composite alerts and adjustable fraud risk thresholds so customer can prioritize efforts for maximum impact
6	Must have robust processes to handle massive amounts of data from multiple sources and to quickly and easily pilot new data sets and technologies to assess value.
7	Must be able to constantly improve its predictive capability and detection accuracy through machine learning.
Dashboard and Investigation Support Requirements	
8	Must display fraud triage results, alerts, analysis, interactive geospatial maps, and suspect profiles in an easy to use, intuitive dashboard.
9	Must have clear and simple fraud detection alerts that integrate into the current processes.
10	Must have the capability to add notes, save and print results and diagrams to build a case for prosecution.
11	Must provide search tools to allow investigators to type in a name or other word and search for matches in public records, and other integrated third-party public and business records databases to allow investigators to quickly gather information on suspects.
12	Must provide out-of-the-box queries and templates that help users detect commonly used fraud schemes.
13	Must offer social media data matching and link analysis, and production of network diagrams to enable users to discover relationships between high-risk recipients, retailers, owners, etc. to support potential fraud cases.
Case Management Requirements	
14	Must have seamless integration with triage dashboard.
15	Must be able to easily create cases in the fraud dashboard to be tracked in the case management system.
16	Must support referral intake, effective referral assessment, assignment, investigation, case development, and monitoring of referrals as they move through the milestones in the life cycle of a fraud case.
17	Must track cases from FRAT report or referral through investigation, criminal or administrative prosecution, repayment/collection of the benefits owed, and payment of reward.
18	Must have workflow capability to optimize the PBI business processes.
19	Must provide configurable “workflow rules” that can trigger changes in the status of a case or an email notification to be sent.
20	Must be able to track investigations and prosecution/hearing outcomes and use these data to identify trends and best practices.
21	Must offer configurable case records with the following features and functions: <ul style="list-style-type: none"> accommodates attachment of any sort of electronic document to the case (fax, scanned document, MS Word, etc.) able to be viewed in summary and in detail capabilities, with role-based controls to restrict access to data and functionality able to be accessed and modified more than once during the case lifecycle, e.g., evidence collection and rebuttal interviews occur at different times in the process but should be included in the same case record provide a case history that will document and display an audit trail of changes made to the case record.
22	Must include employee time and case expense tracking functionality to automate the capture of investigative time estimates required on the quarterly FNS-366B report.
Non-functional Requirements	
23	Must accommodate a minimum of 135 concurrent users.
24	Must provide 99.9% system availability for the web services and dashboard availability Monday through Friday, 6am EST to 6pm EST. <ul style="list-style-type: none"> Scheduled maintenance must occur on nights or weekends
25	Must provide technical and user support Monday through Friday, 8am EST to 6pm EST.
26	Must not require data cleansing on the part of the client.
27	Must bring significant knowledge in the following areas: <ul style="list-style-type: none"> how to tune risk thresholds and predictive models how to rank and adjust alerts how to triage findings to ensure customer is not overwhelmed and is successful using the system.

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

Functional Requirements	
28	Must conduct on-site training on use of the production system and provide all required course materials and user manuals.
29	Must allow credentialed DCF staff to perform the following system maintenance functions: <ul style="list-style-type: none"> • Add, modify or delete users, select their access level and notify them by email of their username and password • Add, modify or delete workflow rules (e.g., users may change timing of notifications) • Change business rules (e.g., adjust fraud detection thresholds)
30	Must use compatible, industry standard Secure File Transfer Protocol software, using data encryption or a Virtual Private Network (VPN) connection to ensure a secure file transfer.
31	Must host all functions in a secure HIPAA-compliant facility.
32	Must be compliant with the following security requirements and standards: <ul style="list-style-type: none"> • Section 282.318, F.S., “Security of Data and Information Technology Resources” • Chapter 74-2, Florida Administrative Code (FAC), “Florida Cybersecurity Standards” • DHHS CMS MARS E 2.0 security requirements • IRS Publication 1075, Rev. 11-2016, security requirements • SSA Information Security Safeguards Requirements document; Electronic Information Exchange Security Requirements and Procedures For State and Local Agencies Exchanging Electronic Information With The Social Security Administration, the SSA standards based on Federal Information Security Management Act (FISMA), Public Law (P.L.) 107-347, the Privacy Act of 1974 • FedRAMP security control requirements as described in the NIST 800-53, Rev. 4 security control baseline for moderate or high impact levels as defined by the Federal Information Processing Standard (FIPS), Federal Information Security Management Act (FISMA), and in accordance with National Institute of Standards and Technology (NIST) standards.

III. Success Criteria

SUCCESS CRITERIA TABLE				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Increased detection of identity theft and eligibility fraud before public assistance benefits are approved	Measure the # and % of fraud cases identified before benefit approval Reduce the ID theft claims (# and \$) that have to be written off	Taxpayers – assurance that public benefits are going only to those truly in need	06/20
2	Greater visibility to and accountability for fraud cases throughout the investigative life cycle	Traceability from fraud report/referral through collection	Taxpayers – efficient investigation and recovery of overpaid public benefits	6/20

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

A. Benefits Realization Table

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	A ten percent increase in the number of eligibility fraud and identity theft cases detected prior to issuance of public assistance benefits ¹	SNAP, TANF, and Medicaid programs	Additional cost avoidance	Monthly \$ amount the applicant would have received <i>times</i> # of months of eligibility <i>minus</i> \$ amount of any benefits awarded	06/20
2	A ten percent increase in collections (excluding TOP) due to reduced lag time between investigation (or drop) and commencement of benefit recovery activities	SNAP, TANF, and Medicaid programs State revenue (state-retained share of collections)	Increased collections	Collections received from repayment methods including cash payments, recoupment of current benefits, payroll deduction	07/20

¹ In FY 2015-16, PBI matched a list of 104,553 of known fraud cases from Department of Economic Opportunity, Division of Reemployment Compensation, with DCF's public assistance rolls and got a 37% client match rate (38,876). Six percent (2,298 cases) had already been identified as fraud through PBI's current detection and investigation methods. PBI staff looked at a random sample of the remaining cases and identified an additional 10% of cases (3,887) involving public assistance fraud or identity theft. The Department estimates that PBI investigators will be able to identify an additional ten percent of public assistance fraud cases using the proposed fraud triage solution.

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

B. Cost Benefit Analysis (CBA)

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBA Form 1A															
Agency (Recurring Costs Only -- No Project Costs)	FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
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	0.00	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	0.00	0.00
A.3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A.3.b. Staff Augmentation (# of 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	0.00	0.00
B. Application Maintenance Costs	\$0	\$0	\$0	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000
B.1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B.2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B.3. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B.4. Other <i>Software as a Service</i>	\$0	\$0	\$0	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C.1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C.2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C.3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C.4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C.5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$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 <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$0	\$0	\$0	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000
F. Additional Tangible Benefits:		\$324,475			\$5,414,965			\$5,025,595		\$4,675,162			\$4,359,772		\$4,675,162
F.1. SNAP, TANF, & Medicaid Savings		\$324,475			\$3,893,700			\$3,504,330		\$3,153,897			\$2,838,507		\$3,153,897
F.2. State-Retained Share of Collections					\$1,521,265			\$1,521,265		\$1,521,265			\$1,521,265		\$1,521,265
F.3. <i>Specify</i>		\$0			\$0			\$0		\$0			\$0		\$0
Total Net Tangible Benefits:		\$324,475			\$4,014,965			\$3,625,595		\$3,275,162			\$2,959,772		\$3,275,162

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBA Form 1B		
Choose Type	Estimate Confidence	Enter % (#)
Detailed/Rigorous <input type="checkbox"/>	Confidence Level	
Order of Magnitude <input checked="" type="checkbox"/>	Confidence Level	20%
Placeholder <input type="checkbox"/>	Confidence Level	

The method and assumptions for calculation of tangible benefits due to implementation of fraud triage and case management technology are as follows:

- Ten percent increase in the number of eligibility fraud and identity theft cases detected prior to issuance of public assistance benefits
 - Ten percent of the number of FY 2016-17 investigations = 2,149
 - Average cost avoidance per investigation in FY 2016-17 = \$1,812.12
 - Total expected benefit from Fraud Triage and Case Management Implementation = \$3,893,699
 - FY 2019-20 – One month of benefits expected
 - FY 2020-21 – 12 months of benefits expected
 - FY 2021-22 through FY 2023-24 – Expected benefit reduced by 10 percent per year due to deterrence factor
- Ten percent increase in collections (excluding Treasury Offset Program) due to reduced lag time between investigation (or drop) and commencement of benefit recovery activities
 - Ten percent of cash and recoupment collections in FY 2017-18 = \$1,521,265
 - Increased collections would not start to be realized until FY 2020-21 due to planned implementation of the case management functionality in May 2020.

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

Dept. of Children & Families		Fraud Triage and Case Management Technology		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.				FY2019-20		
				\$ 4,064,986		
Item Description <i>(remove guidelines and annotate entries here)</i>	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget
Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -
Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -
	Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -
	Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -
	Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -
Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ 1,129,986	\$ -
	Project Planning/Analysis	Contracted 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	\$ -	\$ 2,935,000	\$ -	\$ -

PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
TOTAL PROJECT COSTS (*)	\$4,064,986	\$0	\$0	\$0	\$0	\$4,064,986
CUMULATIVE PROJECT COSTS <i>(includes Current & Previous Years' Project-Related Costs)</i>	\$4,064,986	\$4,064,986	\$4,064,986	\$4,064,986	\$4,064,986	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input checked="" type="checkbox"/>	\$1,853,400	\$638,319	\$638,319	\$638,319	\$638,319	\$4,406,676
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input checked="" type="checkbox"/> <i>State Match - FGTF</i>	\$2,211,586	\$761,681	\$761,681	\$761,681	\$761,681	\$5,258,310
TOTAL INVESTMENT	\$4,064,986	\$1,400,000	\$1,400,000	\$1,400,000	\$1,400,000	\$9,664,986
CUMULATIVE INVESTMENT	\$4,064,986	\$5,464,986	\$6,864,986	\$8,264,986	\$9,664,986	

Characterization of Project Cost Estimate - CBAForm 2C		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input checked="" type="checkbox"/>	Confidence Level
Order of Magnitude	<input type="checkbox"/>	Confidence Level

	COST BENEFIT ANALYSIS -- CBAForm 3A					TOTAL FOR ALL YEARS
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
Project Cost	\$4,064,986	\$0	\$0	\$0	\$0	\$4,064,986
Net Tangible Benefits	\$324,475	\$4,014,965	\$3,625,595	\$3,275,162	\$2,959,772	\$14,199,969
Return on Investment	(\$3,740,511)	\$4,014,965	\$3,625,595	\$3,275,162	\$2,959,772	\$10,134,983
Year to Year Change in Program Staffing	0	0	0	0	0	

RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B		
Payback Period (years)	2	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2020-21	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$8,586,164	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	92.45%	IRR is the project's rate of return.

Investment Interest Earning Yield -- CBAForm 3C					
Fiscal Year	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

V. Schedule IV-B Major Project Risk Assessment

Project	<i>The Fraud Triage and Case Management Technology</i>	
Agency	<i>The Department of Children and Families</i>	
FY 2019-20 LBR Issue Code:	FY 2019-20 LBR Issue Title:	
<i>00000C0</i>	<i>The Fraud Triage and Case Management</i>	
Risk Assessment Contact Info (Name, Phone #, and E-mail Address):		
<i>April Posey, 850-717-4115, April.Posey@myffamilies.com</i>		
Executive Sponsor	<i>Andrew McClenahan</i>	
Project Manager	<i>April Posey</i>	
Prepared By	<i>Coleen Birch</i>	<i>8/23/2018</i>
Risk Assessment Summary		
Business Strategy		
	Level of Project Risk	
Project Risk Area Breakdown		
Risk Assessment Areas		<i>Risk Exposure</i>
Strategic Assessment		LOW
Technology Exposure Assessment		LOW
Organizational Change Management Assessment		LOW
Communication Assessment		MEDIUM
Fiscal Assessment		MEDIUM
Project Organization Assessment		MEDIUM
Project Management Assessment		LOW
Project Complexity Assessment		MEDIUM
Overall Project Risk		MEDIUM

V. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The PBI benefit investigations and benefit recovery processes are supported by several components in the Automated Community Connection to Economic Self Sufficiency (ACCESS) Florida system, which are described below.

a. Description of Current System

The following outlines the high-level functionality of each of the components of the ACCESS system used by PBI.

- **ACCESS Customer Portal (SSP)** – The SSP uses eligibility rules based on predefined criteria to allow customers to apply on-line for selected benefits. It allows customers to connect with their public assistance information 24/7, through the online application and MyACCESS Account. This application is written in Java and Oracle.
- **ACCESS Integrity (AI) Online** – The AI Online system is a web-based system that receives fraud referrals from the FLORIDA system and records results of investigations and total cost avoidance (benefits not issued) due to investigations conducted by BI staff. This application is written in C#, .Net, ASPX, and HTML4 with a SQL back-end.
- **ACCESS Worker Portal (AMS)** – AMS is web-based intranet application that is integrated with FLORIDA system and the Self-Service Portal to allow DCF workers to perform Client Registration and Intake processing. This system uses customer-entered data in online applications and provides DCF staff and call center agents a web friendly environment to manage caseload and call center operations. IMS CONNECT is an application program interface product of IBM and enables access to other web applications. The application is written in Java with an Oracle back-end.
- **FLORIDA** – FLORIDA is the legacy mission-critical system that contains the business rules, workflow and interfaces for most of the public assistance programs. The system is hosted on an IBM Mainframe SYSPLEX environment and is written in COBOL. It provides integrated eligibility functions for SNAP, TANF, and Medicaid programs.
- **Integrated Benefit Recovery System (IBRS)** – The IBRS is the system of record for identifying and recovering overpaid benefits. A fully functional and consolidated BR system maintains all customer, budget, claims, and accounting data on a single web-enabled platform. This simplifies the claims, collections, accounting, reporting and monitoring activity of the BR management and staff. The system is written in JAVA with a SQL back end.

b. Current System Resource Requirements

System	Technology Platform
ACCESS Customer Portal (SSP)	Java, Struts, Spring, Oracle
ACCESS Integrity (AI) Online	C#, .NET, ASPX, HTML4, SQL Server
ACCESS Worker Portal (AMS)	Java, JSF, Oracle, TopLink, Hibernate
Florida Online Recipient Integrated Data Access (FLORIDA) System	COBOL, Telon, IMS, WODM
Integrated Benefit Recovery System (IBRS)	Java, SQL Server

c. Current System Performance

In 2015, the State of Florida Auditor General performed an Operational Audit on DCF’s Public Assistance Fraud Prevention, Detection, and Recovery Efforts ([Report No. 2016-046](#)). The audit included the following findings and observations relating to PBI systems:

- AI Online controls were not sufficient to ensure the completeness, accuracy, and validity of AI Online data. (Finding 2) “Effective data input controls decrease the risk that erroneous or incomplete data may be entered into the AIO and enhance the Department’s ability to accurately track public assistance fraud prevention and detection investigations.”²
- Certain security controls related to logging and monitoring AIO activity need improvement to ensure the continued confidentiality, integrity, and availability of AIO data. (Finding 3)
- The information necessary to accurately analyze the timeliness of referrals of public assistance cases to the DPAF for investigation of possible fraudulent activity was not readily available due to Department system (FLORIDA and IBRS) limitations. (Finding 4) “Absent readily accessible and accurately recorded referral date information, Department management cannot evaluate whether staff are timely referring cases of potential public assistance fraud to DPAF. As a result, Department management lacks assurance that instances of potential fraud will be timely investigated and benefit payments will be timely discontinued in cases where fraud is confirmed.”³
- “Completing benefit recovery referral reviews and establishing claims within specified time frames and according to a prioritized order would better ensure compliance with Federal regulations and minimize the risk that ineligible recipients will continue to receive benefits.”⁴ (Finding 7)

Current systems do not allow PBI to access and analyze data that has been entered by an applicant for public assistance, e.g., income and expense details. The DataMart for AMS only provides summary data, which limits the type of data analytics that can be done to identify anomalies and potential front-end fraud for new public assistance applicants. Current data access is limited to reported data for existing recipients who are applying for recertification of their benefits *after six or twelve months of benefits have already been issued*.

The current systems do not provide the desired triage and case management functionality needed to meet PBI’s business objectives. AI Online has no auditing capability and does not provide the case-level information needed for benefit investigators to efficiently and effectively detect potential fraud. IBRS has no case management capability to enable claims examiners to view, organize, and manage their caseload of overpayment referrals. Both of these systems are connected to the FLORIDA system, so the inputs cannot be changed, and neither of these systems has a modern architecture that could be leveraged or extended to accommodate the needed functionality.

2. Information Technology Standards

ACCESS and its supporting systems are compliant with the applicable Information Technology Standards outlined within the DCF Information Technology Services Standard Operating Procedures (SOPs). These include but are not limited to:

- Section 282.318, F.S., “Security of Data and Information Technology Resources”
- Chapter 74-2, Florida Administrative Code (FAC), “Florida Cybersecurity Standards”
- DHHS CMS MARS E 2.0 security requirements
- IRS Publication 1075, Rev. 11-2016, security requirements
- SSA Information Security Safeguards Requirements document; Electronic Information Exchange Security Requirements and Procedures For State and Local Agencies Exchanging Electronic Information With The Social Security Administration, the SSA standards based on Federal Information Security Management Act (FISMA), Public Law (P.L.) 107-347, the Privacy Act of 1974
- FedRAMP security control requirements as described in the NIST 800-53, Rev. 4 security control baseline for moderate or high impact levels as defined by the Federal Information Processing Standard (FIPS),

² State of Florida Auditor General, [Auditor General Report No. 2016-046](#), November 2015, DEPARTMENT OF CHILDREN AND FAMILIES Public Assistance Fraud Prevention, p.7.

³ Ibid, p. 8.

⁴ Ibid, p. 11.

Federal Information Security Management Act (FISMA), and in accordance with National Institute of Standards and Technology (NIST) standards.

B. Current Hardware and/or Software Inventory

Not applicable.

C. Proposed Technical Solution

1. Technical Solution Alternatives

Alternative 1 – Software as a Service (SaaS)

A Software as a Service (SaaS) is a software licensing and delivery model in which software is licensed on a subscription basis and is centrally hosted. SaaS is typically accessed by users using a web browser. SaaS provides several advantages including dynamic scalability and the ability to add new data sources, prediction models, alerts and other system features over time. It does not require onsite hardware, software, maintenance or technical training. It can receive batch files from multiple systems that include demographic information on both recipients, retailers and EBT transaction data to perform fraud analytics.

Alternative 2 - Commercial Off the Shelf Software (COTS)

COTS is a term that describes a packaged software solution that is adapted to satisfy the needs of the purchasing organization. COTS provide increased reliability and quality because they are developed by specialists for a specific industry or function and are validated by other user organizations, often over an extended period of time. Although COTS products can be used out of the box, in practice these products must be configured to integrate to existing organizational systems and meet business needs. COTS products and services can be purchased, leased or even licensed, and are built and delivered usually from a third party vendor.

Alternative 3 - Custom Development

The scope of work includes system development life cycle activities that include the confirmation of requirements, design, code development, unit testing, system testing, and UAT support and implementation activities for the creation or modification of the following components. Activities include the enhancements to the Self-Service Portal (SSP), AMS, TIP, MES Reporting System, developing fraud profiling rules and processes that are components of a new Fraud Profiling System Solution. Planned functionality includes but is not limited to:

- Develop a rules based evaluation tool using our current rules engine to evaluate all applications, complete reviews and requests for additional assistance received through the Self-Service Portal based on the number and types of fraud prone data elements that are associated with the application.
- Mark fraud prone work items as RED track items in AMS, and add an alert to AMS Work Item Detail page that identifies items as potentially fraud prone. All others items will be marked as green track.
- Work items identified as “fraud prone” will be routed in AMS to the BI Triage Unit; a list of the fraud prone elements associated with the work item will be listed in ACCESS Summary.
- Items will go through the Timesaving Innovation Process (TIP) before sending them to the BI Triage Unit. It will perform the functions as it does today except that it will not approve any of the benefits in the case.
- Create reports associated with this project.
- Create a dashboard to make application data and fraud profile results available to PBI.

Alternative 4 – COTS and Custom Development

Extending the functionality of COTS products via custom development is also an option, however this decision may result in costly and long term support and maintenance implications. Customized functionality usually is not supported by the COTS vendor, so brings its own sets of issues when upgrading the COTS product.

2. Rationale for Selection

The department has been planning for the replacement of the old and expensive infrastructure surrounding the FLORIDA system. For this reason, the selected fraud triage and case management technology must minimize the required investment in existing systems as well as new hardware and software.

Public assistance fraud is not a stagnant activity. Lawbreakers continually are trying to circumvent the safeguards and checks the department has implemented to thwart obtaining public assistance benefits through fraudulent means.

The technology must be configurable to respond to changing fraud trends and must be able to constantly improve the predictive capability and detection accuracy of the solution.

3. Recommended Technical Solution

The department anticipates that the technical solution will involve some type of SaaS offering. This approach would minimize the investment in hardware and software. In-house technology work would be limited to development of an interface or web service to receive the data from the online applications submitted through the customer portal. SaaS also provides a scalable and flexible solution that can accommodate the high volume of data from Florida’s public assistance applicants, and use third-party data to detect new patterns and anomalies that can indicate emerging fraud schemes.

D. Proposed Solution Description

1. Summary Description of Proposed System

While the specific solution will be identified through a competitive procurement, it must meet all the functional and non-functional requirements identified in section II.D. The solution must have been in use for at least five years, with high customer satisfaction.

A new web service will have to be created to provide client application data from the SSP to the triage service provider. A new “flag” will be needed on AMS to identify applications that are triaged as high-risk to be redirected from regular processing to the fraud triage process for investigation and disposition.

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

The department cost estimates for this project used an existing solution (Agency for Health Care Administration’s contract for a subscription-based advanced data analytics service) as a proxy to estimate what a solution with a similar scope and objective might cost. Data ingestion, and system configuration and implementation are estimated to cost \$2,935,000, with annual subscription fees to cost an estimated \$1.4 million. The department’s current IT vendor (Deloitte) estimated the cost to develop the new web service and modify the AMS as described above to be \$1,129,986 (9,658 hours @ \$117 per hour).

E. Capacity Planning

Not applicable.

VI. Schedule IV-B Project Management Planning

Required project planning components include:

1) Project objectives

This project will meet the following objectives:

- implement a fraud detection solution to deter and detect public assistance fraud
- enable the systematic and efficient identification of cases with a high risk of potential fraud before benefits are approved
- accurately and efficiently recover any overpaid benefits that have been fraudulently obtained
- pre-screen fraud referrals so PBI investigative staff are more productive and spend less time reviewing cases that do not involve fraudulent behavior
- leverage eligibility, recipient, EBT transactions, and third-party data in a single platform
- allow ESS workers to focus on their mission of determining eligibility and PBI workers to focus on detecting, investigating, and preventing fraud
- monitor and track case outcomes from investigations, prosecutions and administrative actions, through collection activities and final benefit recovery
- modernize the investigative lifecycle through an integrated case management platform.

2) Project Milestones

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

Milestone Description	Deliverable	Responsible Party	Date
LBR Submission	Schedule IV-B	DCF	Oct 15, 2018
Secure funding	GAA	EOG/ Legislature	May 3, 2019
Submit federal Advance Planning Document	Advance Planning Document	PBI/ ESS Planning	May 6, 2019
Begin procurement process	Procurement document (RFQ), including draft contract	PBI/ESS Contracts	July 1, 2019
Complete procurement	Vendor selection	PBI/ESS Contracts	Sept 1, 2019
Execute contract/Begin project	Contract, Project Management Plan, and Requirements Validation	Vendor/PBI/ ESS Contracts	Oct 1, 2019
Begin historical data ingestion	Security Plan and Data File Specifications	Vendor/PBI	Nov 4, 2019
User Acceptance Testing Complete	NA	Vendor/PBI/ OITS	Jan 31, 2020
Complete training for pilot	On-site training sessions	Vendor/PBI	Jan 31, 2020
Complete DCF IT components	Web service with Vendor and AMS flag	DCF OITS	Feb 3, 2020
Implement fraud triage pilot	Fraud Triage component	Vendor/PBI/ OITS	Feb 3, 2020
Pilot complete	Pilot results and impacts	Vendor/PBI	May 1, 2020
Complete case management system configuration	Functional system released into production	Vendor/PBI	May 29, 2020
Complete training for statewide implementation	On-site training sessions Training materials	Vendor/PBI	May 29, 2020
Statewide implementation	Secure web-based dashboard and case management system	Vendor/PBI/ OITS	June 1, 2020
Post-Implementation Support	User and SaaS support	Vendor	June 2, 2020

3) Project governance and organization

The project will have an Executive Steering Committee that will be responsible for making resource and go/no-go decisions. The DCF Project Director and the Vendor Project Manager will be responsible for day-to-day oversight of the project. The project will have two major workgroups. The Technical Workgroup will be responsible for ensuring the configuration of the new solution and completion of the DCF system enhancements. The Process Workgroup will be responsible for designing and developing new ESS and PBI processes, policies, and procedures to implement the fraud triage solution.

Resource Name and Title	Role	Responsibilities
Jennifer Lange, Assistant Secretary of Economic Self-Sufficiency	Executive Sponsor	Serves as the project champion; provides guidance on overall strategic direction; makes resources available to the project; has responsibility for project success, resolves escalated issues; and serves as an advocate for the project with executive management.

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

Resource Name and Title	Role	Responsibilities
Andrew McClenahan, Office of Public Benefits Integrity Director	Project Sponsor	Has programmatic decision making authority and provides strategic direction, operational guidance, and tactical advice; approves scope changes; has responsibility for project success; resolves and escalates issues; and provides business resources for project success.
Joe Vastola, Chief Information Officer	IT Project Sponsor	Has IT decision making authority and provides strategic direction, operational guidance, and tactical advice; champions the project and provides IT resources for project success; and has responsibility for successful development and implementation of the OITS components of the project.
Karen Jilson, Public Benefits Investigations Chief Sheri Hall, Benefit Recovery Chief Tonyaleah Veltcamp, ESS Program Integrity Chief William Martinez, ESS Data Analytics and Contract Management Director	Programmatic SMEs/ Consultants	Supports the project vision, resolves escalated issues; provides in-depth knowledge and analysis of core business processes, policies, and procedures; has programmatic decision making authority; champions the project within their respective areas; provides guidance on overall strategic direction; provides business resources for project success; has programmatic responsibility for successful development and implementation of the project; facilitates communication within business area.
Coleen Birch	Project Director	Oversees the project; provides guidance and direction to state and vendor project team members; resolves escalated issues; communicates project resource needs and scope changes to the Executive Sponsor; and has overall responsibility for project success.
April Posey	Project Coordinator	Coordinates project activities and resources; responsible for day-to-day project oversight; coordinates development and maintenance of project management plan; monitors project issues and risks; and provides general support to the Project Director throughout the project.
Tammy Schubin	ESS Contract Manager	Manages the procurement process including RFQ, negotiations, and ongoing vendor relations.
OITS designee	Technical SME	Provides in-depth knowledge and analysis of AMS and communicates and validates technical requirements.
ESS Operations designee	Functional SME	Provides in-depth knowledge and analysis of core ESS business processes, policies, and procedures; communicates and validates functional requirements.

SCHEDULE IV-B FOR THE FRAUD TRIAGE AND CASE MANAGEMENT TECHNOLOGY PROJECT

Resource Name and Title	Role	Responsibilities
Michael Greif	Legal Consult	Provides expert advice to the project on legal matters; reviews solicitation documents, contracts, etc. from a legal perspective.
Randy Pupo	Financial Analyst	Controls project budget and provides project expenditure reporting.
BI and BR stakeholders	BI and BR subject matter experts	Engaged in the configuration and testing of the new technology; validates functional requirements; assists in the review and approval of all project deliverables.

4) Quality assurance plan

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

The following quality control practices will be maintained during the life of the project.

- Project team acceptance and approval
- Periodic project team meetings
- Project status meetings
- Periodic contractor, contract manager, project manager and project team meetings
- Contract manager and DCF Project Director acceptance and approval
- Maintain detailed requirements definitions under configuration management
- Risk Management and Mitigation

Quality will be monitored throughout the project by the Project Director. Stakeholders will be involved in acceptance of all project deliverables to ensure project quality control.

5) 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 that the risk will negatively affect the project. Risks will be identified, tracked, mitigated, and closed throughout the lifecycle. Mitigation strategies for risks identified in the Risk Assessment in Section V of this IV-B Feasibility Study are as follows:

#	Risk Description	Exposure	Mitigation Strategy
1	Communication Planning	Medium	Development of key messages, outcomes, and success measures
2	Fiscal	Medium	Develop Advance Planning Document for submission to federal agencies, e.g., FNS and Center for Medicaid Services Develop procurement selection criteria and outcomes
3	Project Organization – part-time project manager	Medium	Reduce duties for project management team members
4	Project Complexity – multiple project stakeholders	Medium	Establish clear roles and responsibilities Implement comprehensive communication planning

6) Implementation plan

Communication Plan

Disseminating knowledge among stakeholders is essential to the project’s success. Project sponsors 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 affect them in the future, the more they will participate and benefit.

The following chart provides the list of project stakeholders and the initial methods of communication for the project. A detailed Communication Plan will be completed which outlines the requirements for effective communication methods and how they will be implemented, including AST’s reporting requirements as defined in procurement. These will include project kick off, regular status meetings, regular status reports, regular review, and evaluation of project issues and risks, milestone reporting, periodic project evaluation, regular product demonstrations and reviews, a web-based discussion board, project website, etc. It is expected that the Communication Plan will be adhered to and receive updates as applicable during the life of the project.

Stakeholders	Desired Behavior
EOG and Legislature	Approve funding for the project
Federal Partners, e.g., FNS, CMS	Approve funding for the project; approve the Major Change
DCF Executive Management	Support for the project; resources/ attention as needed
DCF Operations/ Regional Management	Support for the project; resources/ attention as needed
ESS Policy	Work with PBI to design, develop, and implement new business processes to implement fraud triage solution
ESS Operations	Work with PBI to design, develop, and implement new business processes to implement fraud triage solution
OITS	Work with PBI to implement fraud triage solution
BI and BR staff	Design, develop, and implement new business processes to implement fraud triage and case management solution; assist in configuration and refining fraud triage business rules

Organizational Change Management

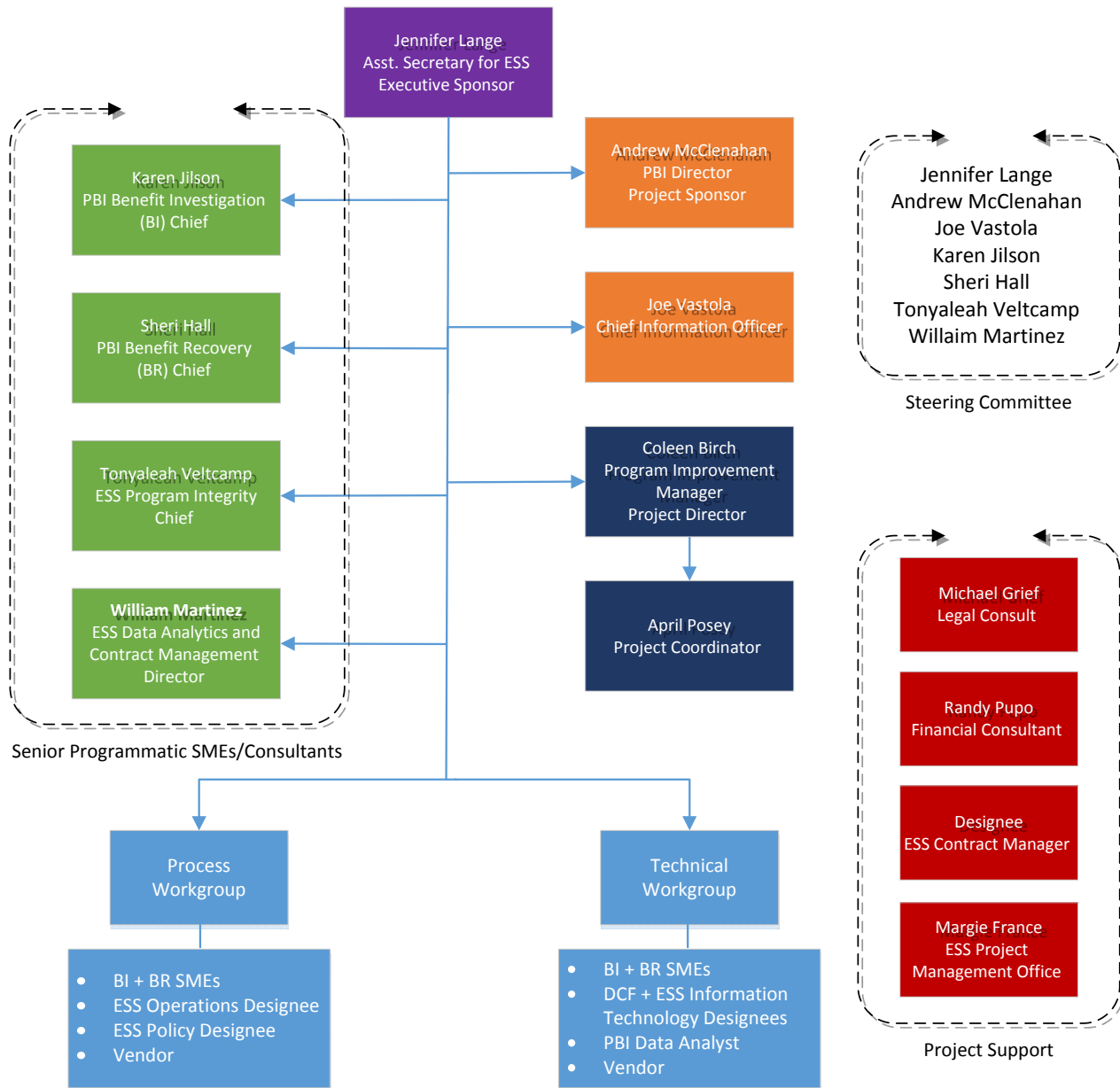
Effective Organizational Change Management (OCM) will be a critical success factor for ensuring effective deployment of the fraud triage solution. The Project Team will implement OCM through communication, awareness, and training. At a minimum, the OCM Plan will include:

- Description of roles, responsibilities, and communication between vendor and department
- Process maps including a role oriented flowchart (swim lane view) of the AS-IS and TO-BE processes
- Training Plan

VII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

Appendix A: Project Organization Chart



Appendix B: Cost Benefit Analysis Template

CBAForm 1 - Net Tangible Benefits

Agency Dept. of Children & Families Project Fraud Triage and Case Manag

Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A															
Agency (Recurring Costs Only -- No Project Costs)	FY 2019-20			FY 2020-21			FY 2021-22			FY 2022-23			FY 2023-24		
	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a)+(b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Cost Change Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project	(a) Existing Program Costs	(b) Operational Cost Change	(c) = (a) + (b) New Program Costs resulting from Proposed Project
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	0.00	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	0.00	0.00
A-3.a. Staff Augmentation (Contract Cost)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
A-3.b. Staff Augmentation (# of 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	0.00	0.00
B. Application Maintenance Costs	\$0	\$0	\$0	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000
B-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-2. Hardware	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-3. Software	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
B-4. Other <i>Software as a Service</i>	\$0	\$0	\$0	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000
C. Data Center Provider Costs	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-1. Managed Services (Staffing)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-2. Infrastructure	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-3. Network / Hosting Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-4. Disaster Recovery	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
C-5. Other <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
D. Plant & Facility Costs	\$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 <i>Specify</i>	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Total of Recurring Operational Costs	\$0	\$0	\$0	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000	\$0	\$1,400,000	\$1,400,000
F. Additional Tangible Benefits:		\$324,475			\$5,414,964			\$5,025,594			\$4,675,161			\$4,359,772	
F-1. <i>SNAP, TANF, & Medicaid Savings</i>		\$324,475			\$3,893,699			\$3,504,329			\$3,153,896			\$2,838,507	
F-2. <i>State-Retained Share of Collections</i>					\$1,521,265			\$1,521,265			\$1,521,265			\$1,521,265	
F-3. <i>Specify</i>		\$0			\$0			\$0			\$0			\$0	
Total Net Tangible Benefits:		\$324,475			\$4,014,964			\$3,625,594			\$3,275,161			\$2,959,772	

CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B		
Choose Type	Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	<input type="checkbox"/>	Confidence Level
Order of Magnitude	<input checked="" type="checkbox"/>	Confidence Level 20%
Placeholder	<input type="checkbox"/>	Confidence Level

A		B		C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T
1	Dept. of Children & Families		Fraud Triage and Case Management Technology										CBA Form 2A Baseline Project Budget								
2	Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A.																				
3					\$ -	\$ 4,064,986		\$ -			\$ -			\$ -			\$ -			\$ 4,064,986	
4	Item Description (remove guidelines and annotate entries here)	Project Cost Element	Appropriation Category	Current & Previous Years Project-Related Cost	YR 1 #	YR 1 LBR	YR 1 Base Budget	YR 2 #	YR 2 LBR	YR 2 Base Budget	YR 3 #	YR 3 LBR	YR 3 Base Budget	YR 4 #	YR 4 LBR	YR 4 Base Budget	YR 5 #	YR 5 LBR	YR 5 Base Budget	TOTAL	
5	Costs for all state employees working on the project.	FTE	S&B	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
6	Costs for all OPS employees working on the project.	OPS	OPS	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
7		Staff Augmentation	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
8		Project Management	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
9		Project Oversight	Contracted Services	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ -
10	Staffing costs for all professional services not included in other categories.	Consultants/Contractors	Contracted Services	\$ -	0.00	\$ 1,129,986	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ -	\$ 1,129,986
11		Project Planning/Analysis	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
12		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	\$ -		\$ 2,935,000	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ 2,935,000
15	All first-time training costs associated with the project.	Training	Contracted Services	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -		\$ -	\$ -	\$ -	\$ -
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 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	\$ 4,064,986	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	0.00	\$ -	\$ -	\$ 4,064,986

CBAForm 2 - Project Cost Analysis

Agency	<u>Dept. of Children & Families</u>	Project	<u>Fraud Triage and Case M</u>
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PROJECT COST SUMMARY	PROJECT COST SUMMARY (from CBAForm 2A)					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
TOTAL PROJECT COSTS (*)	\$4,064,986	\$0	\$0	\$0	\$0	\$4,064,986
CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small>	\$4,064,986	\$4,064,986	\$4,064,986	\$4,064,986	\$4,064,986	
Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet.						

PROJECT FUNDING SOURCES	PROJECT FUNDING SOURCES - CBAForm 2B					TOTAL
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
General Revenue	\$0	\$0	\$0	\$0	\$0	\$0
Trust Fund	\$0	\$0	\$0	\$0	\$0	\$0
Federal Match <input checked="" type="checkbox"/>	\$1,853,400	\$638,319	\$638,319	\$638,319	\$638,319	\$4,406,676
Grants <input type="checkbox"/>	\$0	\$0	\$0	\$0	\$0	\$0
Other <input checked="" type="checkbox"/> State Match - FGTF	\$2,211,586	\$761,681	\$761,681	\$761,681	\$761,681	\$5,258,310
TOTAL INVESTMENT	\$4,064,986	\$1,400,000	\$1,400,000	\$1,400,000	\$1,400,000	\$9,664,986
CUMULATIVE INVESTMENT	\$4,064,986	\$5,464,986	\$6,864,986	\$8,264,986	\$9,664,986	

Characterization of Project Cost Estimate - CBAForm 2C			
Choose Type		Estimate Confidence	Enter % (+/-)
Detailed/Rigorous	x	Confidence Level	10%
Order of Magnitude		Confidence Level	
Placeholder		Confidence Level	

CBAForm 3 - Project Investment Summary

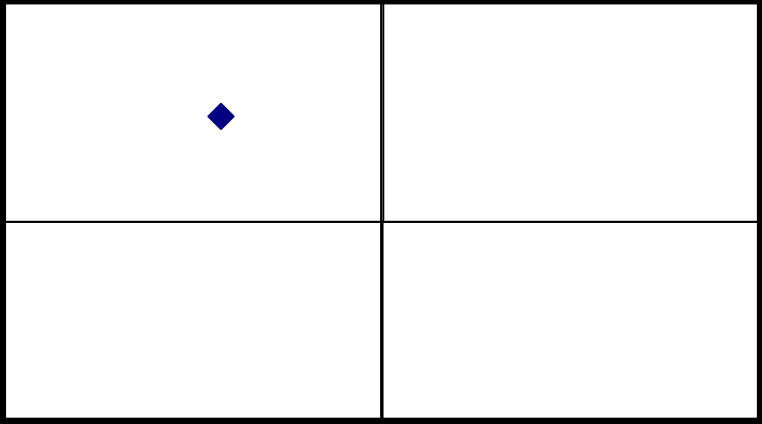
Agency	<u>Dept. of Children & Families</u>	Project	<u>Fraud Triage and Case M</u>
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<i>COST BENEFIT ANALYSIS -- CBAForm 3A</i>						
	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL FOR ALL YEARS
Project Cost	\$4,064,986	\$0	\$0	\$0	\$0	\$4,064,986
Net Tangible Benefits	\$324,475	\$4,014,964	\$3,625,594	\$3,275,161	\$2,959,772	\$14,199,966
Return on Investment	(\$3,740,511)	\$4,014,964	\$3,625,594	\$3,275,161	\$2,959,772	\$10,134,980
Year to Year Change in Program Staffing	0	0	0	0	0	

<i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i>		
Payback Period (years)	2	Payback Period is the time required to recover the investment costs of the project.
Breakeven Fiscal Year	2020-21	Fiscal Year during which the project's investment costs are recovered.
Net Present Value (NPV)	\$8,586,161	NPV is the present-day value of the project's benefits less costs over the project's lifecycle.
Internal Rate of Return (IRR)	92.45%	IRR is the project's rate of return.

<i>Investment Interest Earning Yield -- CBAForm 3C</i>					
Fiscal Year	FY 2019-20	FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24
Cost of Capital	1.94%	2.07%	3.18%	4.32%	4.85%

Appendix C: Project Risk Assessment

	B	C	D	E	F	G	H
3	Project		<i>The Fraud Triage and Case Management Technology</i>				
4							
5	Agency		<i>The Department of Children and Families</i>				
6	FY 2019-20 LBR Issue Code:			FY 2019-20 LBR Issue Title:			
7	<i>00000C0</i>			<i>The Fraud Triage and Case Management</i>			
8	Risk Assessment Contact Info (Name, Phone #, and E-mail Address):						
9	<i>April Posey, 850-717-4115, April.Posey@myflfamilies.com</i>						
10	Executive Sponsor		<i>Andrew McClenahan</i>				
11	Project Manager		<i>April Posey</i>				
12	Prepared By		<i>Coleen Birch</i>			<i>8/23/2018</i>	
14	Risk Assessment Summary						
15							
16	Business Strategy						
17							
18							
19							
20							
21							
22							
23							
24							
25							
26							
27							
28							
29							
30	Level of Project Risk						
31	Least Risk			Most Risk			
32							
34	Project Risk Area Breakdown						
35	Risk Assessment Areas						<i>Risk Exposure</i>
36	Strategic Assessment						LOW
37							
38	Technology Exposure Assessment						LOW
39							
40	Organizational Change Management Assessment						LOW
41							
42	Communication Assessment						MEDIUM
43							
44	Fiscal Assessment						MEDIUM
45							
46	Project Organization Assessment						MEDIUM
47							
48	Project Management Assessment						LOW
49							
50	Project Complexity Assessment						MEDIUM
51							
52							
53	Overall Project Risk						MEDIUM

	B	C	D	E
1	Agency: The Department of Children and Families		Project: The Fraud Triage and Case Management Technology	
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 completely documented
15			Vision is partially documented	
16			Vision is completely documented	
17	1.05	Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented?	0% to 40% -- Few or none defined and documented	81% to 100% -- All or nearly all defined and documented
18			41% to 80% -- Some defined and documented	
19			81% to 100% -- All or nearly all defined and documented	
20	1.06	Are all needed changes in law, rule, or policy identified and documented?	No changes needed	No changes needed
21			Changes unknown	
22			Changes are identified in concept only	
23			Changes are identified and documented	
24			Legislation or proposed rule change is drafted	
25	1.07	Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions?	Few or none	Few or none
26			Some	
27			All or nearly all	
28	1.08	What is the external (e.g. public) visibility of the proposed system or project?	Minimal or no external use or visibility	Minimal or no 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	Use or visibility at division and/or bureau level only
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	1 year or less
35			Between 3 and 5 years	
36			Between 1 and 3 years	
37			1 year or less	

	B	C	D	E
1	Agency: The Department of Children and Families		Project: The Fraud Triage and Case Management Technology	
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	Internal resources have sufficient knowledge 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	All or nearly all alternatives documented and considered
14			Some alternatives documented and considered	
15			All or nearly all alternatives documented and considered	
16	2.04	Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards?	No relevant standards have been identified or incorporated into proposed technology	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	Minor or no infrastructure change required
20			Moderate infrastructure change required	
21			Extensive infrastructure change required	
22			Complete infrastructure replacement	
23	2.06	Are detailed hardware and software capacity requirements defined and documented?	Capacity requirements are not understood or defined	Capacity requirements are based on historical data and new system design specifications and performance requirements
24			Capacity requirements are defined only at a conceptual level	
25			Capacity requirements are based on historical data and new system design specifications and performance requirements	

	B	C	D	E
1	Agency: The Department of Children and Families		Project: The Fraud Triage and Case Management Technology	
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	Moderate 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	81% to 100% -- All or nearly all processes defined and documented
11			41% to 80% -- Some process changes defined and documented	
12			81% to 100% -- All or nearly all processes defined and documented	
13	3.04	Has an Organizational Change Management Plan been approved for this project?	Yes	Yes
14			No	
15	3.05	Will the agency's anticipated FTE count change as a result of implementing the project?	Over 10% FTE count change	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	Less than 1% 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)	Minor or no changes
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	Minor or no 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 greater change requirements
28			Recently completed project with fewer change requirements	
29			Recently completed project with similar change requirements	
30			Recently completed project with greater change requirements	

	B	C	D	E
1	Agency: Agency Name		Project: Project Name	
3	Section 4 -- Communication Area			
4	#	Criteria	Value Options	Answer
5	4.01	Has a documented Communication Plan been approved for this project?	Yes	Yes
6			No	
7	4.02	Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)?	Negligible or no feedback in Plan	Proactive use of feedback in Plan
8			Routine feedback in Plan	
9			Proactive use of feedback in Plan	
10	4.03	Have all required communication channels been identified and documented in the Communication Plan?	Yes	Yes
11			No	
12	4.04	Are all affected stakeholders included in the Communication Plan?	Yes	Yes
13			No	
14	4.05	Have all key messages been developed and documented in the Communication Plan?	Plan does not include key messages	Some key messages have been developed
15			Some key messages have been developed	
16			All or nearly all messages are documented	
17	4.06	Have desired message outcomes and success measures been identified in the Communication Plan?	Plan does not include desired messages outcomes and success measures	Plan does not include desired messages outcomes and 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		Agency: The Department of Children and Families	Project: The Fraud Triage and Case Management Technology	
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	81% to 100% -- All or nearly all defined and documented
8			41% to 80% -- Some defined and documented	
9			81% to 100% -- All or nearly all defined and documented	
10	5.03	What is the estimated total cost of this project over its entire lifecycle?	Unknown	Between \$2 M and \$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%)	Detailed and rigorous (accurate within ±10%)
18			Order of magnitude – estimate could vary between 10-100%	
19			Placeholder – actual cost may exceed estimate by more than 100%	
20	5.06	Are funds available within existing agency resources to complete this project?	Yes	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 single agency
23			Funding from local government agencies	
24			Funding from other state agencies	
25	5.08	If federal financial participation is anticipated as a source of funding, has federal approval been requested and received?	Neither requested nor received	Neither requested nor received
26			Requested but not received	
27			Requested and received	
28			Not applicable	
29	5.09	Have all tangible and intangible benefits been identified and validated as reliable and achievable?	Project benefits have not been identified or validated	All or nearly all project benefits have been identified and validated
30			Some project benefits have been identified but not validated	
31			Most project benefits have been identified but not validated	
32			All or nearly all project benefits have been identified and validated	
33	5.10	What is the benefit payback period that is defined and documented?	Within 1 year	Within 3 years
34			Within 3 years	
35			Within 5 years	
36			More than 5 years	
37			No payback	
38	5.11	Has the project procurement strategy been clearly determined and agreed to by affected stakeholders?	Procurement strategy has not been identified and documented	Stakeholders have reviewed and approved the proposed procurement strategy
39			Stakeholders have not been consulted re: procurement strategy	
40			Stakeholders have reviewed and approved the proposed procurement strategy	
41	5.12	What is the planned approach for acquiring necessary products and solution services to successfully complete the project?	Time and Expense (T&E)	Firm Fixed Price (FFP)
42			Firm Fixed Price (FFP)	
43			Combination FFP and T&E	
44	5.13	What is the planned approach for procuring hardware and software for the project?	Timing of major hardware and software purchases has not yet been determined	Just-in-time purchasing of hardware and software is documented in the project schedule
45			Purchase all hardware and software at start of project to take advantage of one-time discounts	
46			Just-in-time purchasing of hardware and software is documented in the project schedule	
47	5.14	Has a contract manager been assigned to this project?	No contract manager assigned	Contract manager assigned is not the procurement manager or the project manager
48			Contract manager is the procurement manager	
49			Contract manager is the project manager	
50			Contract manager assigned is not the procurement manager or the project manager	
51	5.15	Has equipment leasing been considered for the project's large-scale computing purchases?	Yes	Yes
52			No	
53	5.16	Have all procurement selection criteria and outcomes been clearly identified?	No selection criteria or outcomes have been identified	Some selection criteria and outcomes have been defined and documented
54			Some selection criteria and outcomes have been defined and documented	
55			All or nearly all selection criteria and expected outcomes have been defined and documented	
56	5.17	Does the procurement strategy use a multi-stage evaluation process to progressively narrow the field of prospective vendors to the single, best qualified candidate?	Procurement strategy has not been developed	Multi-stage evaluation not planned/used for procurement
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: The Department of Children and Families		Project: The Fraud Triage and Case Management Technology	
3	Section 6 -- Project Organization Area			
4	#	Criteria	Values	Answer
5	6.01	Is the project organization and governance structure clearly defined and documented within an approved project plan?	Yes	Yes
6			No	
7	6.02	Have all roles and responsibilities for the executive steering committee been clearly identified?	None or few have been defined and documented	All or nearly all have been defined and documented
8			Some have been defined and documented	
9			All or nearly all have been defined and documented	
10	6.03	Who is responsible for integrating project deliverables into the final solution?	Not yet determined	System Integrator (contractor)
11			Agency	
12			System Integrator (contractor)	
13	6.04	How many project managers and project directors will be responsible for managing the project?	3 or more	3 or more
14			2	
15			1	
16	6.05	Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed?	Needed staff and skills have not been identified	Some or most staff roles and responsibilities and needed skills have been identified
17			Some or most staff roles and responsibilities and needed skills have been identified	
18			Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented	
19	6.06	Is an experienced project manager dedicated fulltime to the project?	No experienced project manager assigned	No, project manager assigned more than half-time, but less than full-time to project
20			No, project manager is assigned 50% or less to project	
21			No, project manager assigned more than half-time, but less than full-time to project	
22			Yes, experienced project manager dedicated full-time, 100% to project	
23	6.07	Are qualified project management team members dedicated full-time to the project	None	No, business, functional or technical experts dedicated more than half-time but less than full-time to project
24			No, business, functional or technical experts dedicated 50% or less to project	
25			No, business, functional or technical experts dedicated more than half-time but less than full-time to project	
26			Yes, business, functional or technical experts dedicated full-time, 100% to project	
27	6.08	Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources?	Few or no staff from in-house resources	Mostly staffed 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: The Department of Children and Families		Project: The Fraud Triage and Case Management Technology	
3	Section 7 -- Project Management Area			
4	#	Criteria	Values	Answer
5	7.01	Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project?	No	Yes
6			Project Management team will use the methodology selected by the systems integrator	
7			Yes	
8	7.02	For how many projects has the agency successfully used the selected project management methodology?	None	More than 3
9			1-3	
10			More than 3	
11	7.03	How many members of the project team are proficient in the use of the selected project management methodology?	None	All or nearly all
12			Some	
13			All or nearly all	
14	7.04	Have all requirements specifications been unambiguously defined and documented?	0% to 40% -- None or few have been defined and documented	81% to 100% -- All or nearly all 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	81% to 100% -- All or nearly all 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	41 to 80% -- Some have been defined to the work package level
30			41 to 80% -- Some have been defined to the work package level	
31			81% to 100% -- All or nearly all have been defined to the work package level	
32	7.10	Has a documented project schedule been approved for the entire project lifecycle?	Yes	Yes
33			No	
34	7.11	Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources?	Yes	Yes
35			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	All planning and reporting templates are available
40			Some templates are available	
41			All planning and reporting templates are available	
42	7.14	Has a documented Risk Management Plan been approved for this project?	Yes	Yes
43			No	
44	7.15	Have all known project risks and corresponding mitigation strategies been identified?	None or few have been defined and documented	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: The Department of Children and Families		Project: The Fraud Triage and Case Management Technology	
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	Less complex
6			More complex	
7			Similar complexity	
8			Less complex	
9	8.02	Are the business users or end users dispersed across multiple cities, counties, districts, or regions?	Single location	More than 3 sites
10			3 sites or fewer	
11			More than 3 sites	
12	8.03	Are the project team members dispersed across multiple cities, counties, districts, or regions?	Single location	3 sites or fewer
13			3 sites or fewer	
14			More than 3 sites	
15	8.04	How many external contracting or consulting organizations will this project require?	No external organizations	1 to 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	9 to 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	None
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	Business process change in single division or bureau
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	Yes
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	Greater 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	Greater size and complexity
40			Lesser size and complexity	
41			Similar size and complexity	
42			Greater size and complexity	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2019 - 2020**
Budget Entity: 60910506

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2017- 2018	ESTIMATED FY 2018-2019	REQUEST FY 2019-2020
Interest on Debt	(A) 3,804,966.85	3,496,610.00	3,240,235.00
Principal	(B) 7,785,000.00	5,000,000.00	5,255,000.00
Repayment of Loans	(C)		
Fiscal Agent or Other Fees	(D) 29,339.89	25,000.00	25,000.00
Other Debt Service	(E)	6,000.00	6,000.00
Total Debt Service	(F) 11,619,306.74	8,527,610.00	8,526,235.00

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)	(2)	(3)	(4)	(5)
INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-19	30-Jun-20
From 3.75% to 5.00%	7/1/2018	\$37,985,000		
(6)	(7)	(8)	(9)	
	ACTUAL FY 2017- 2018	ESTIMATED FY 2018-2019	REQUEST FY 2019-2020	
Interest on Debt	(G) 65,561.83			
Principal	(H) 3,030,000.00			
Fiscal Agent or Other Fees	(I) 10,093.44			
Other	(J)			
Total Debt Service	(K) 3,105,655.27	-	-	

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

INTEREST RATE	MATURITY DATE	ISSUE AMOUNT	30-Jun-19	30-Jun-20
From 4.00% to 5.00%	10/1/2025	\$41,940,000	22,605,000.00	20,250,000.00
	ACTUAL FY 2017- 2018	ESTIMATED FY 2018-2019	REQUEST FY 2019-2020	
Interest on Debt	(G) 1,281,501.38	1,172,625.00	1,057,750.00	
Principal	(H) 2,130,000.00	2,240,000.00	2,355,000.00	
Fiscal Agent or Other Fees	(I) 6,514.35	10,000.00	10,000.00	
Other	(J)	3,000.00	3,000.00	
Total Debt Service	(K) 3,418,015.73	3,425,625.00	3,425,750.00	

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: Children and Families **Budget Period 2019 - 2020**
Budget Entity: 60910506

(1)	(2)	(3)	(4)
SECTION I	ACTUAL FY 2017- 2018	ESTIMATED FY 2018-2019	REQUEST FY 2019-2020
Interest on Debt	(A) <input type="text"/>	<input type="text"/>	<input type="text"/>
Principal	(B) <input type="text"/>	<input type="text"/>	<input type="text"/>
Repayment of Loans	(C) <input type="text"/>	<input type="text"/>	<input type="text"/>
Fiscal Agent or Other Fees	(D) <input type="text"/>	<input type="text"/>	<input type="text"/>
Other Debt Service	(E) <input type="text"/>	<input type="text"/>	<input type="text"/>
Total Debt Service	(F) <input type="text"/>	<input type="text"/>	<input type="text"/>

Explanation: 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-19	30-Jun-20
From 4.00% to 5.00%	10/1/2029	68,730,000.00	46,510,000.00	43,610,000.00
(6)		(7)	(8)	(9)
		ACTUAL FY 2017- 2018	ESTIMATED FY 2018-2019	REQUEST FY 2019-2020
Interest on Debt	(G)	2,457,903.64	2,323,985.00	2,182,485.00
Principal	(H)	2,625,000.00	2,760,000.00	2,900,000.00
Fiscal Agent or Other Fees	(I)	12,732.10	15,000.00	15,000.00
Other	(J)	<input type="text"/>	3,000.00	3,000.00
Total Debt Service	(K)	5,095,635.74	5,101,985.00	5,100,485.00

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SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2018 - 2019

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	<p><i>Audit of the Incident Reporting and Analysis System (IRAS)</i></p> <p>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:</p> <ul style="list-style-type: none"> • 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. 	<p>At the Secretary's direction, senior managers from the Office of Administrative Services, Operations, the Office of Child Welfare and the Office of Substance Abuse and Mental Health sponsored the DCF Incident Reporting Process Team. The purpose of this team includes identifying opportunities to remove incident reporting duplication and improving functionality within IRAS for reporting and analyzing deaths, serious injuries, serious illnesses, attempted suicides and high-profile events occurring in all Department programs and facilities.</p> <p>The new IRAS Administrator will work with SAMH to identify outpatient providers and determine the best course of action to remind those users of the missing child definition per CFOP 215-6.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-1617DCF-020	2016-2017	Office of Child Welfare Office of Financial Management	<p><i>Child Care License and Registration Fee Collections</i></p> <p>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.</p> <p>The audit disclosed the following:</p> <ul style="list-style-type: none"> • 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. 	<p>The Office of Child Care Regulation is continuing plans to develop an on-line application and portal that will automate the reconciliation process and link to the new EPayment portal currently being developed/piloted in the Office of Substance Abuse and Mental Health program. Ongoing discussions continue to occur with the Office of Revenue Management on this project. A temporary reconciliation process has been partially implemented. CARES development continues with anticipated release of reconciliation action items by October 2018.</p> <p>The Office of Child Care Regulation and the Office of Revenue Management are working with the Department of Revenue (DOR) to transition the collection process to DOR. In addition, the Child Care Program has submitted an LBR for authorization to use funding to complete the online application build for the CARES system which will align with the DOR collection process and incorporate an electronic reconciliation process.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-1617DCF-024	2017-2018	Substance Abuse and Mental Health	<p><i>Analysis of Community Action Treatment Teams</i></p> <p>The objective of this audit was to analyze Community Action Treatment Team (CAT Team) efficiency in achieving performance measures and to determine whether providers and contact managers were following appropriate program and Department guidance. The scope of this audit included CAT Teams for FYs 2014-2015, 2015-2016, 2016-2017. The audit disclosed the following:</p> <ul style="list-style-type: none"> • Contract managers did not consistently apply financial consequences in cases where CAT Team providers failed to meet performance measures; • Provider information reporting on the Persons Served and Performance Measure Report was not consistent; • Information reported by contractual providers to the Substance Abuse and Mental Health (SAMH) Program Office was not always consistent with information reported to contract <ul style="list-style-type: none"> • The Persons Served and Performance Measure Report for FY 2016-2017 was not updated to include a change in outcome measures for providers. 	<p>The Assistance Secretary for Substance Abuse and Mental Health (SAMH) responded that the program would provide training for contract managers, refine reporting process and information reported to contract managers would be addressed for discrepancies.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-1617DCF-031	2017-2018	Substance Abuse and Mental Health	<p><i>Welfare Trust Funds at Northeast Florida State Hospital (NEFSH)</i></p> <p>The objectives of this audit were to determine whether:</p> <ul style="list-style-type: none"> • Controls were adequate over cash receipts; • All proceeds were used for the benefit, education, and general welfare of clients at NEFSH; and • Welfare trust fund (WTF) transactions were made in compliance with state law and Department policy and procedures. <p>The scope of this audit included a review of statutes, procedures, supporting documentation, internal controls, expenditures, and bank account balances compared to accounting procedures guidelines for FY 2015-2016. The audit disclosed the following:</p> <ul style="list-style-type: none"> • NEFSH needs to improve internal controls over vending machine revenue and cash register closeout procedures; • More WTFs could be available by ensuring NEFSH staff use a <i>Consumer Certificate of Exemption</i> to avoid unnecessarily paying Florida sales taxes and eliminate purchasing inventory for resale at retail prices; • Investment of excess WTFs would increase interest earnings; and • The value of the Sand Dollar Boutique FY 2015-2016 ending inventory reported to Headquarters Financial Management was misstated. 	<p>The Hospital Administrator concurred with the 13 reported findings and recommendations. In response to the audit, NEFSH developed an action plan and had completed six of its planned twelve corrective actions by the time NEFSH submitted its audit response.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-1617DCF-063	2017-2018	Office of Child Welfare Office of Financial Management	<p data-bbox="844 256 1213 310"><i>Compliance with Federal Subrecipient Monitoring Requirements</i></p> <p data-bbox="844 367 1302 816">The objective of this audit was to determine whether the Department, Community-Based Care lead agencies (CBCs), and Behavioral Health Managing Entities (MEs) established policies and procedures to ensure compliance with subrecipient monitoring requirements for pass-through entities under the federal "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" (Uniform Guidance). The audit scope included policies and procedures established to ensure compliance with selected criteria contained in Title 2, § 200.331 of the Code of Federal Regulations (2 C.F.R. § 200.331), "Requirements for pass-through entities," of the Uniform Guidance. The audit covered the period July 2016 through June 2017.</p> <p data-bbox="844 873 1302 1214">The audit disclosed the following:</p> <ul data-bbox="844 898 1302 1214" style="list-style-type: none"> • In some instances, the policies and procedures of the Department, CBCs, and MEs did not include the necessary Uniform Guidance requirements, or included superseded references; • Kids Central, Inc. contracted emergency shelters and group homes may more appropriately be classified as subrecipients; and • Our Kids of Miami-Dade/Monroe, Inc. can enhance their monitoring efforts by including subrecipients that provide Family Support Services. 	<p data-bbox="1318 367 1686 521">The Assistant Secretary for Administration and the Assistant Secretary for Operations concurred with the recommendations and agreed to take corrective action, as necessary.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
A-1718DCF-048	2017-2018	Office of Child Welfare Office of Financial Management	<p><i>Audit of Our Kids of Miami-Dade/Monroe, Inc. - Client Trust Funds</i></p> <p>The objectives of this audit were to determine whether Our Kids of Miami-Dade/Monroe, Inc. (Our Kids) had taken appropriate safeguards to protect client trust funds (CTFs); ensure reliability of financial records; and meet its fiduciary responsibilities.</p> <p>The scope of this audit included expenditure documentation, fiduciary responsibilities to clients as representative payee for social security funds paid on behalf of clients served under contract with the Department, and planning and budgeting of clients' funds for the FYs July 1, 2015 through June 30, 2017</p> <p>The audit disclosed the following:</p> <ul style="list-style-type: none"> • Our Kids did not allocate bank service charges (bank fees) to CTF accounts but paid these fees by reimbursing the CTF bank account with funds received from the Department;□ • Our Kids did not invest excess CTFs; and • Our Kids could not provide documentation that room and board rates deducted from CTFs were agreed upon or approved by the Department. 	<p>Our Kids management concurred with our findings and recommendations. Our Kids responded that Our Kids would seek Department advice and agreement for handling bank services charges with its private funds and would further investigate investing excess funds with the Florida Treasury. In addition, Our Kids responded that Our Kids would liaise with the Department and agree to a procedure for complying with legislative mandates regarding room and board rates</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
2018-013	2017-2018	Substance Abuse and Mental Health Information Technology Services	<p><i>Substance Abuse and Mental Health Information System (SAMHIS) - Information Technology Operational Audit</i></p> <p>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.</p> <p>This audit disclosed the following: 1) SAMHIS application input edits for ensuring data accuracy and validity need improvement.</p>	<p>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 new system, Financial and Services Accountability Management System (FASAMS), is expected to go live by 12/31/2018. Recommendations discussed in the July 7 preliminary and tentative audit findings will be incorporated into FASAMS.</p> <p>1) Data validation edits to SAMHIS to prevent problems identified during the audit are being prioritized for development in FASAMS.</p> <p>Reports have been written that identify data exceptions. Subject matter experts follow-up with data submitters to advise on data exceptions.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>AUDITOR GENERAL 2018-013</p>	<p>2017-2018</p>	<p>Substance Abuse and Mental Health Information Technology Services</p>	<p><i>Substance Abuse and Mental Health Information System (SAMHIS) - Information Technology Operational Audit</i></p> <p>Continuation --</p> <p>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.</p> <p>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.</p> <p>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.</p>	<p>MCI process has resolved the identity of 4.8 million individuals in SAMHIS. Additional 200,000 individuals are being prioritized and manually resolved.</p> <p>SAMH continues to provide monthly reports to regions and MEs that includes counts of persons served and units of services provided. More robust reports are being proposed for FASAMS. Anticipated Completion Date: January 1, 2019.</p> <p>SAMH HQ personnel and region/ME personnel have been working in partnership to implement the corrective action. Since this issue was identified, SAMH and MEs have deactivated individuals that have not used the system within 60 days.</p> <p>The corrective action has been implemented such that all anticipated separations, as reported by the HR liaison, are closed out of SAMHIS at least one day prior to separation.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
<p>AUDITOR GENERAL 2018-013</p>	<p>2017-2018</p>	<p>Substance Abuse and Mental Health Information Technology Services</p>	<p><i>Substance Abuse and Mental Health Information System (SAMHIS) - Information Technology Operational Audit</i></p> <p>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.</p>	<p>Role based security was discussed with the FASAMS development team during the week of March 19. Additional discussions were scheduled to be held through mid-April. The FASAMS developer understands the importance of user authentication, logging and monitoring, and the protection of confidential and exempt data. FASAMS is being explicitly designed to ensure that the findings associated with SAMHIS are all appropriately addressed and mitigated. Anticipated Completion Date: January 1, 2019</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AUDITOR GENERAL 2018-189	2017-2018	Financial Management	<p><i>State of Florida - Compliance and Internal Controls Over Financial Reporting and Federal Awards</i></p> <p>As a condition of receiving Federal funds, the OMB requires an audit of the State's financial statements and major Federal awards programs. The Auditor General audited the State's compliance with governing requirements for the Federal awards programs and program clusters identified as major programs for the fiscal year ended June 30, 2017.</p> <p><i>This audit disclosed the following:</i></p> <p>2017-032) The FDCF did not conduct reconciliations between the data included in the accounting systems used by the FDCF and the data included in Community-Based Care (CBC) organization records to ensure the accuracy of TANF and other child welfare program data reported by the FDCF.</p>	<p>FDCF does not concur with the statement that it did not conduct reconciliations between data included in the accounting systems used by the FDCF to ensure accuracy of TANF and other child welfare program data. FDCF has several processes in place to check for accuracy of this data and performs a year-end reconciliation between FLAIR and the CBC Monthly Actual Expenditure reports in order to support all federal earnings adjustments made to GRANTS for federal reporting at the end of the year.</p> <p>FDCF has created comprehensive written reconciliations procedures that address all actions performed to ensure reconciliations support federal grant expenditures.</p>	
	2017-2018	Economic Self-Sufficiency	<p>2017-033) The FDCF did not timely obtain an adequate examination by an independent auditor of the transaction processing performed by the service organization regarding the issuance, redemption, and settlement of WIC and TANF program benefits.</p>	<p>On February 19, 2018, the Department implemented an agreement with its EBT vendor that ensures independent audits will cover the entire period (365 days) since the previous audit period.</p>	
	2017-2018	Economic Self-Sufficiency	<p>2017-035) The FDCF did not retain all Income Eligibility and Verification System (IEVS) data exchange responses and, consequently, could not demonstrate compliance with Federal IEVS data exchange requirements. In addition, the FDCF did not always timely process IEVS data exchange responses.</p>	<p>The Department is still exploring the following options:</p> <ul style="list-style-type: none"> • The creation of a tolerance for the timely completion of data exchanges (DEs). • An allowance to forgo the review of certain IEVS DEs. 	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AUDITOR GENERAL 2018-189	2017-2018	Economic Self-Sufficiency	2017-036) The FDCF could not always demonstrate that Florida Department of Revenue (FDOR) Child Support Enforcement (CSE) sanction requests for uncooperative TANF recipients were appropriately imposed.	The system enhancement to create child support data exchanges (DECS) for child support sanction requests received for individuals who do not have a valid SSN (including no SSN) will be implemented in December 2018.	
	2017-2018	Economic Self-Sufficiency	2017-040) The FDCF did not always document that Medicaid recipients met eligibility requirements.	<p>On April 18, 2018, the Department implemented a workaround process which requires staff at the local level to take action on the sanction requests for these individuals to ensure they are appropriately imposed.</p> <p>Continuation of benefits beyond the eligibility period:</p> <ul style="list-style-type: none"> • In June 2017, the Department implemented the Auto Action Changes process which automatically closes or ex partes individuals who are no longer eligible for their current Medicaid coverage group. This process applied only to the current month. • In April 2018, the Department implemented the next phase in which the Auto Action/End of Review Period process closes Medicaid assistance groups for past month review periods. The final phase was implemented in May 2018, which consisted of closing Medically Needy coverage groups. <p>Assignment of rights for third party liability:</p> <ul style="list-style-type: none"> • A question addressing third party liability was added to the interview template with a soft launch on June 26, 2018. <p>The training postcards will be released upon the hard launch of the interview template.</p>	

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service):	Department of Children and Families					
Agency Budget Officer/OPB Analyst Name:	Amy Kelly					
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.						
	Program or Service (Budget Entity Codes)					
Action	60900101	60900202	60910310	60910506	60910708	60910950

I. 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)? (CSDC or Web LBR Column Security)	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? (CSDC)	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 ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? (CSDR, CSA)	Y	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. 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 to the portal.						

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y

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	Y	N/A	Y	N/A
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AUDITS:

3.2 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (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.						

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
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 (05XXXXX) 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)						
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 (EDIR, EXD1)						
5.1 Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y
AUDITS:						
5.2 Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	Y	Y
5.3 FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences [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 2017-18 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.						
TIP If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created. Note that there is a \$5,000 allowance at the department level.						
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
TIP Exhibit D-3 is not required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
7. EXHIBIT D-3A (EADR, ED3A) (Required to be posted to the Florida Fiscal Portal)						
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

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
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?	N/A	Y	Y	N/A	Y	N/A
7.4 Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	N/A	Y	Y	N/A	Y	N/A
7.5 Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.)	N/A	Y	Y	N/A	Y	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	N/A	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 (OAD/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	N/A	Y	Y	Y	Y
7.8 Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A	N/A
7.9 Does the issue narrative reference the specific county(ies) where applicable?	N/A	N/A	Y	N/A	N/A	N/A
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 #19-002?	N/A	N/A	N/A	Y	Y	N/A
7.11 When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A	N/A
7.12 Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	Y	Y	N/A	N/A
7.13 Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A
7.14 Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	N/A	N/A	N/A	N/A	N/A	N/A
7.16 Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A	N/A	N/A	Y	N/A	N/A
7.17 Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	N/A	Y	Y	N/A	Y	N/A
7.18 Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A
7.19 Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y
AUDIT:						
7.20 Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	N/A	N/A	N/A	N/A	N/A	N/A
7.21 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

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
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).						
TIP If an appropriation made in the FY 2018-19 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)						
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

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
8.10 Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y
8.11 Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	Y	Y	Y	Y	Y	Y
8.12 Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	Y	Y	Y	Y	Y	Y
8.13 If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y
8.14 Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y
8.15 Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y
8.16 Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y
8.17 If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y
8.18 Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y
8.19 Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y
8.20 Are appropriate General Revenue Service Charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y
8.21 Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y
8.22 Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	Y	Y
8.23 Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y
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?	Y	Y	Y	Y	Y	Y
8.26 Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y
8.27 Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A
8.28 Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y
8.29 Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y
AUDITS:						
8.30 Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y
8.31 Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y	Y	Y	Y	Y	Y

Action	Program or Service (Budget Entity Codes)					
	60900101	60900202	60910310	60910506	60910708	60910950
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
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:						
9.1 Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 158 of the LBR Instructions.)	Y	N/A	Y	Y	Y	N/A
10. SCHEDULE III (PSCR, SC3)						
10.1 Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A	N/A	N/A	Y	N/A	N/A
10.2 Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	N/A	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)						
11.1 Are the correct Information Technology (IT) issue codes used?	N/A	Y	Y	N/A	Y	N/A
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 VIII A (EADR, SC8A)						
12.1 Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIII B-1 (EADR, S8B1)						
13.1 NOT REQUIRED FOR THIS YEAR	N/A	N/A	N/A	N/A	N/A	N/A
14. SCHEDULE VIII B-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)						
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.)						
TIP Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.						
15. SCHEDULE VIII C (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)						

Action	Program or Service (Budget Entity Codes)					
	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?	Y	N/A	N/A	N/A	N/A	N/A
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 match?	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:						
16.3 Does the FY 2017-18 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 <u>should</u> appear in Section II? (Note: The activities listed in Audit #3 do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	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	Y	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 <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.						
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						
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