



State Board of Education

Marva Johnson, *Chair*
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Pam Stewart
Commissioner of Education

October 19, 2018

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes (F.S.), our Legislative Budget Request for the Florida Department of Education is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein, is a true and accurate presentation of our proposed needs for the 2019-20 Fiscal Year. This submission was approved by the State Board of Education on September 14, 2018.

This budget aligns with the Five-Year Statewide Strategic Plan for Economic Development and continues the Governor's commitment to K-12 public education funding. Funding is included to align workers with the skills to meet current and future employer needs, expand access to education and training programs, and increase the number of students receiving degrees in the areas of Science, Technology, Engineering, and Mathematics (STEM).

Director Cynthia Kelly
Staff Director JoAnne Leznoff
Staff Director Mike Hansen
October 19, 2018
Page Two

Also included are statutorily required reports approved by the State Board of Education. The reports are: (1) Florida's State Board of Education Strategic Plan 2015-2020 as required by section 1001.02(3)(a), F.S., approved September 23, 2016, with modification of the Florida College System program lists, and (2) the five-year plan for postsecondary enrollment as required by s. 1001.02(2)(v), F.S., approved September 14, 2018.

Sincerely,

A handwritten signature in cursive script that reads "Pam Stewart". The signature is written in black ink and is positioned above the printed name.

Pam Stewart
Commissioner of Education

PS/lc

Enclosures

FLORIDA DEPARTMENT OF EDUCATION
Temporary Special Duty – General Pay Additives Implementation Plan
For Fiscal Year 2019-20

In accordance with rule authority established in 60L-32.0012, Florida Administrative Code, the Florida Department of Education 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 establishing lead worker duties, temporary duties due to vacancies and absent coworkers, and when temporarily assigning duties that are not customarily assigned to the position.

Pay additives are a valuable management tool which allows agencies to compensate employees for identified additional duties which are not permanent in nature.

Leadworker Duties

The agency requests approval to approve this additive for employees who are assigned limited supervisory responsibilities that include directing the work of employees having the same or similar duties in the same work unit. The duties may also include distributing work, maintaining a balanced workload among employees, keeping records, and defining work priorities. The duties do not include evaluating performance or administering disciplinary actions, and do not justify reclassification.

Temporary Special Duties (General)

The agency requests approval to approve this additive when an employee has been assigned temporary duties and responsibilities not customarily assigned to the position. The agency's review shall include the duties being assigned the position, the additive amount, and compliance with the applicable collective bargaining agreement.

Temporary Special Duties (Absent Coworker)

The agency requests approval to approve this additive when the employee is assigned the duties and responsibilities of a coworker who is absent from work due to authorized FMLA or authorized military leave.

Competitive Area Differential

The agency requests to continue to approve this additive for specific positions with similar duties and responsibilities when it has been determined that recruitment, turnover, or competitive pay problems exist in a defined geographic region or county(ies).

For these pay additive scenarios addressed in this plan, the additive will begin on the first day of special duties being assumed and continue for up to 90 days. After this 90-day period, the agency will reassess the need for the additive and address accordingly.

During fiscal year 2017-18, the agency implemented a total of 13 temporary special duty additives (general), all of which would fall within the scenario described above. The agency expended approximately \$31,167.57 on these 13 additives. The agency anticipates expenditures to be comparable to those in prior years.

The agency requested pay additives are in line with Article 21 – Compensation for Temporary Special Duty in Higher Position as defined in the most recent AFSCME Master Contract (December 12, 2017 through June 30, 2020).



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

2019-20

Department Level

Exhibits and Schedules

Schedule VII: Agency Litigation Inventory

| | | | |
|--|---|---|--------------|
| Agency: | Department of Education | | |
| Contact Person: | Matthew Mears | Phone Number: | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Citizens for Strong Schools, Inc. v. Florida State Board of Education | | |
| Court with Jurisdiction: | Florida Supreme Court | | |
| Case Number: | Fla. 2d Cir. Case No. 2009-CA-4534; on appeal: Case Nos. 1D-16-2862 (Fla. 1st DCA) and SC18-67 (Fla. Supreme Court) | | |
| Summary of the Complaint: | <p>Adequacy Lawsuit.</p> <p>This case was filed in 2009. Plaintiffs argue the State has failed to make adequate provision by law for a uniform, efficient, safe, secure, and high-quality system of free public schools as required by Article IX, Section 1, of the Florida Constitution. Plaintiffs argue the State has failed to adequately fund education and challenge the use of Florida's accountability and assessment system.</p> <p>Following a four-week trial that began on March 14, 2016, Circuit Judge George S. Reynolds, III, found for the Department, ruling that there are no judicially manageable standards, that relief is precluded by the doctrine of separation of powers (appropriation is a legislative function), and that Florida's education policies are rationally related to constitutional requirements.</p> | | |
| Amount of the Claim: | \$ | | |
| Specific Statutes or Laws (including GAA) Challenged: | Article IX, Section 1, Florida Constitution (1998) | | |
| Status of the Case: | The Decision of Judge Reynolds was affirmed on appeal by the First District Court of Appeal. On April 30, 2018, the Florida Supreme Court accepted jurisdiction and established a briefing schedule. Oral Argument scheduled for 11/8/18 at 9:00am. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input checked="" type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input checked="" type="checkbox"/> | Outside Contract Counsel | |

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|--|---------------------|
| 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). | Not a class action. |
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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 Education | | |
| Contact Person: | Matthew Mears | Phone Number: | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | School Board of Palm Beach County v. Florida Department of Education, et al. | | |
| Court with Jurisdiction: | Florida Second Circuit Court | | |
| Case Number: | No. 2017 CA 002046 (Fla. 2d Cir. Ct. filed Sept. 28, 2017) (Judge Shelfer) | | |
| Summary of the Complaint: | 7069, Case 1. This case challenges a statute that required school districts to share capital outlay millage with charter schools. Were the Court to invalidate this statute, it would have a significant fiscal impact on charter schools. | | |
| Amount of the Claim: | \$ | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | 6/2/18: Order Granting DOE's Motion to Stay Pending Appeal of Related Case 2. 8/6/18: Order from DCA dismissing Appeal. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input checked="" type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |
| | <input checked="" type="checkbox"/> | Outside Contract Counsel | |

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| 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). | Not a class action. |
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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.

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|--|--|---|--------------|
| Agency: | Department of Education | | |
| Contact Person: | Matthew Mears | Phone Number: | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | School Board of Alachua County, et al., v. Florida Department of Education, et al. | | |
| Court with Jurisdiction: | Florida Second Circuit Court | | |
| Case Number: | No. 2017 CA 002158 (Fla. 2d Cir. Ct. filed Oct. 16, 2017) (Judge Cooper) | | |
| Summary of the Complaint: | 7069, Case 2. This case involves multiple issues including sharing capital millage, schools of hope, Title I, standard charter contract, and school turnaround. This case was brought against the Department by 13 school districts. | | |
| Amount of the Claim: | \$ | | |
| Specific Statutes or Laws (including GAA) Challenged: | | | |
| Status of the Case: | On appeal: Case No. 1D18-1917 (Fla. 1st DCA). On April 17, 2018, Judge Cooper granted the Department's SJ Motion and denied the Districts' SJ Motion. The school districts have appealed their loss to the First District Court of Appeal. | | |
| Who is representing (of record) the state in this lawsuit? Check all that | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input checked="" type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |

| | | |
|--|-------------------------------------|--------------------------|
| apply. | <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). | Not a class action. | |

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.

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|--|---|---|--------------|
| Agency: | Department of Education | | |
| Contact Person: | Matthew Mears | Phone Number: | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | School Board of Alachua County, et al., v. Speaker Richard Corcoran, et al. | | |
| Court with Jurisdiction: | Florida Second Circuit Court | | |
| Case Number: | No. 2018 CA 000025 (Fla. 2d Cir. Ct. filed Oct. 16, 2017) (Originally assigned to Judge Dodson; recently transferred to Judge Cooper) | | |
| Summary of the Complaint: | 7069, Case 3. This case is a single-subject challenge brought by nine school districts seeking to invalidate HB 7069. | | |
| Amount of the Claim: | \$ | | |
| Specific Statutes or Laws (including GAA) Challenged: | HB 7069. | | |
| Status of the Case: | This case was originally filed in the Florida Supreme Court; FSC transferred the case to circuit court where the Court issued an Order to Show Cause. | | |
| Who is representing (of record) the state in this lawsuit? Check all that | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input checked="" type="checkbox"/> | Office of the Attorney General or Division of Risk Management | |

| | | |
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| apply. | XX | 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). | Not a class action. | |

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.

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|--|--|---------------|--------------|
| Agency: | Department of Education | | |
| Contact Person: | Matthew Mears | Phone Number: | 850-245-0442 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Alexis S. Geffin and Ryan J. Geffin, et al., v. Governor Rick Scott, et al.; Thomas A. Warren and Kathleen Villacorta, et al., v. Governor Rick Scott, et al. | | |
| Court with Jurisdiction: | Florida Second Circuit Court | | |
| Case Number: | Case No. 2017-CA-1364 (Fla. 2d Cir. Ct.); Case No. 2017-CA-1526 (Fla. 2d Cir. Ct.). (Cases consolidated before Judge Dodson). | | |
| Summary of the Complaint: | <p>Matching Funds Lawsuit.</p> <p>Plaintiffs allege that the Governor, Speaker of the House, President of the Senate, State Board of Education, Board of Governors and Commissioner Stewart have violated §§ 1011.32, 1011.85, 1011.94, or 1013.79, Florida Statutes, by not requesting and appropriating money to match private donations under these statutes, thereby depriving Florida colleges and universities and students of over \$1 billion. Plaintiffs allege a violation of Article III § 12 (single subject rule), breach of contract, violation of Article IX §1(A) (adequacy challenge). Plaintiffs seek certification of a class action, an injunction enjoining Defendants from enacting additional appropriations bills without satisfying obligations under matching statutes, declaratory judgment, and/or a writ of mandamus.</p> | | |
| Amount of the Claim: | \$600-\$700 Million | | |

| | | | |
|--|---|---|--|
| Specific Statutes or Laws (including GAA) Challenged: | 2017 General Appropriation Act, Ch. 2017-70 In addition, Plaintiffs challenge the failure to appropriate in General Appropriations Acts going back to 2012-2013. §§ 1011.32, 1011.85, 1011.94, or 1013.79, Fla. Stat. | | |
| Status of the Case: | 6/28/2018: Opinion issued granting in part and denying in part the Legislative Defendants' petition for writ of prohibition. Waiting on circuit court to issue order in line with DCA opinion. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | XX | Agency Counsel | |
| | XX | Office of the Attorney General or Division of Risk Management | |
| | XX | 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). | <p>Eugene E. Stearns Grace L. Mead Morgan Q. McDonough Stearns Weaver Miller Weissler Alhadeff & Sitterson, P.A. Museum Tower 150 West Flagler Street Suite 2200 Miami, FL 33130</p> <p>Glenn Burhans, Jr. Kelly O'Keefe Stearns Weaver Miller Weissler Alhadeff & Sitterson, P.A. Highpoint Center 106 East College Avenue Suite 700 Tallahassee, FL 32301</p> | | |

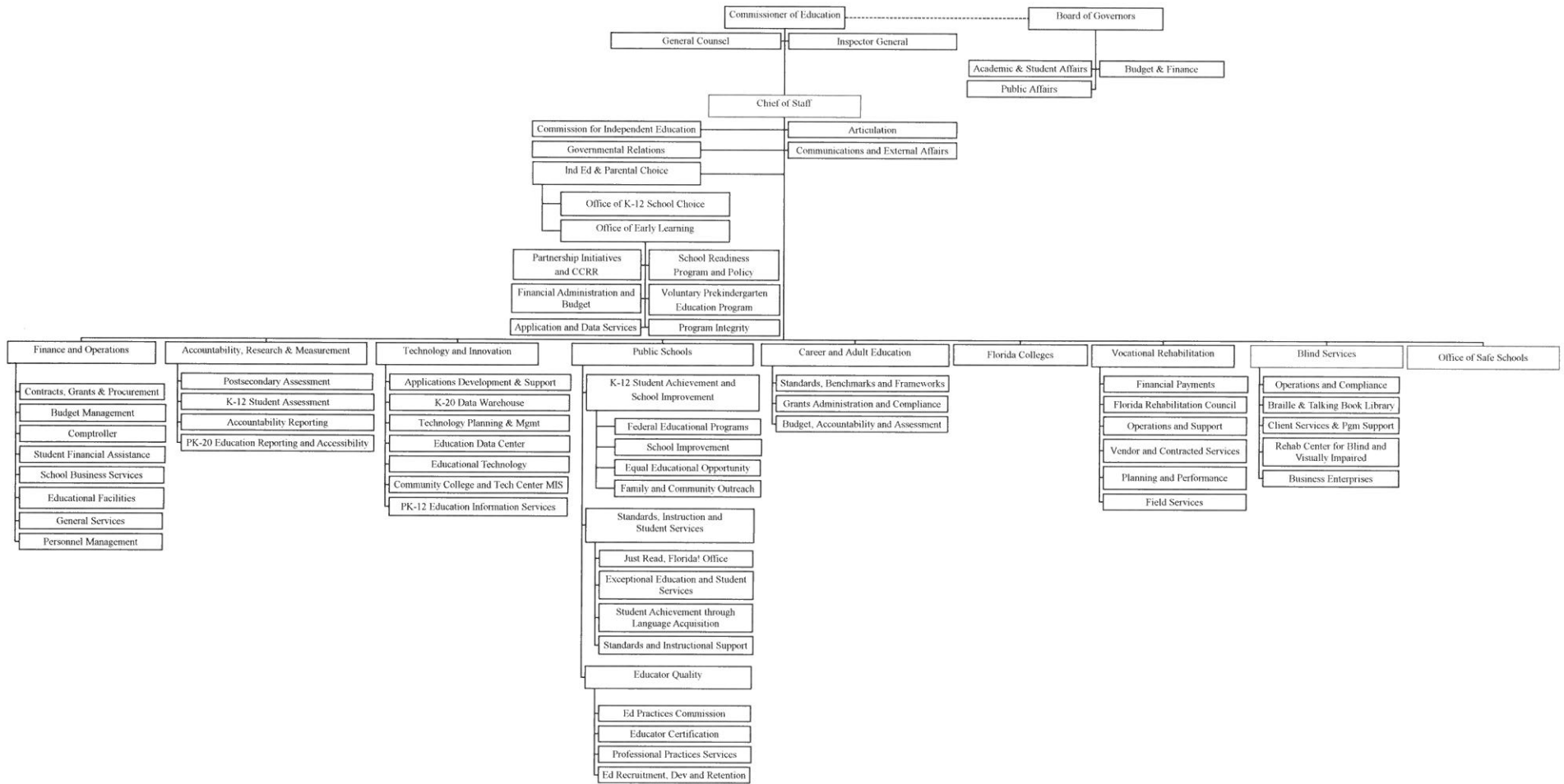
Schedule VII: Agency Litigation Inventory

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

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|-----------------|--------------------------------|---------------|--------------|
| Agency: | Department of Education | | |
| Contact Person: | Matthew Mears | Phone Number: | 850-245-0442 |
| | | | |

| | | |
|--|---|---|
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Florida Education Association v. Florida Department of Education, et al. | |
| Court with Jurisdiction: | US District Court Northern District of Florida | |
| Case Number: | No. 4:17-cv-00414-RH-CAS (N.D. Fla. filed Sept. 13, 2017) (Judge Hinkle) | |
| Summary of the Complaint: | <p>Best & Brightest Lawsuit.</p> <p>Several years ago the Florida Legislature adopted a program that provides bonuses to new teachers who scored in the top 20th percentile on the SAT/ACT, and to existing teachers who were rated as “highly effective” and who scored in the top 20th percentile on the SAT/ACT. The FEA challenged this bonus program in federal court on grounds that older teachers and minorities were underrepresented. For example, the FEA alleges that African-Americans represent 13% of teachers, but only 1% of the program recipients.</p> | |
| Amount of the Claim: | \$ | |
| Specific Statutes or Laws (including GAA) Challenged: | § 1012.731, Fla. Stat. | |
| Status of the Case: | Case set for two-week trial period beginning 2/4/19. | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" 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). | (Class not certified) John C. Davis Law Office of John C. Davis 623 Beard Street Tallahassee, Florida 32303 | |

FLORIDA DEPARTMENT OF EDUCATION



Authorized Positions:

| | |
|---------------------------------------|-----------------|
| State Board of Education | 951.00 |
| Division of Vocational Rehabilitation | 884.00 |
| Division of Blind Services | 289.75 |
| Board of Governors | 65.00 |
| Office of Early Learning | 99.00 |
| TOTAL | 2,286.75 |

| EDUCATION, DEPARTMENT OF | | FISCAL YEAR 2017-18 | | | |
|---|--|---------------------|---------------|------------------------------|---------------|
| SECTION I: BUDGET | | OPERATING | | FIXED CAPITAL OUTLAY | |
| TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT | | 22,534,768,691 | | 1,884,774,773 | |
| ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.) | | 669,924,874 | | 306,322,549 | |
| FINAL BUDGET FOR AGENCY | | 23,204,693,565 | | 2,191,097,322 | |
| SECTION II: ACTIVITIES * MEASURES | | Number of Units | (1) Unit Cost | (2) Expenditures (Allocated) | (3) FCO |
| Executive Direction, Administrative Support and Information Technology (2) | | | | | 1,834,926,826 |
| Educational Facilities * Students served | | 2,833,115 | 0.75 | 2,127,698 | |
| Funding And Financial Reporting * Students served | | 2,833,115 | 0.97 | 2,751,236 | |
| School Transportation Management * Students transported. | | 1,133,397 | 0.47 | 535,292 | |
| Recruitment And Retention * Students who graduate from teacher preparation programs. | | 5,309 | 465.52 | 2,471,424 | |
| Curriculum And Instruction * Students served | | 2,833,115 | 2.83 | 8,012,304 | |
| Community College Program Fund * Students served | | 733,080 | 1,651.91 | 1,210,985,197 | |
| School Choice And Charter Schools * Students served. | | 2,833,115 | 1.25 | 3,537,948 | |
| Education Practices Commission * Final orders issued. | | 663 | 1,209.05 | 801,601 | |
| Professional Practices Services * Investigations completed | | 3,191 | 873.78 | 2,788,234 | |
| Teacher Certification * Subject area evaluations processed. | | 63,313 | 107.65 | 6,815,688 | |
| Assessment And Evaluation * Total tests administered. | | 7,692,128 | 16.51 | 127,027,783 | |
| Exceptional Student Education * Number of ESE students. | | 557,112 | 7.94 | 4,422,754 | |
| Postsecondary Education Coordination * Number of institutions. | | 165 | 4,171.65 | 688,323 | |
| Commission For Independent Education * Number of institutions. | | 1,025 | 4,400.47 | 4,510,478 | |
| Florida Education Finance Program * Number of students served. | | 2,833,115 | 4,114.92 | 11,658,050,059 | |
| State Grants To School Districts/ Non-Florida Education Finance Program * Number of students served. | | 2,833,115 | 166.15 | 470,708,315 | |
| Determine Eligibility, Provide Counseling, Facilitate Provision Of Rehabilitative Treatment, And Job Training To Blind Customers * Customers served | | 11,774 | 4,240.57 | 49,928,518 | |
| Provide Food Service Vending Training, Work Experience And Licensing * Facilities supported | | 145 | 44,444.08 | 6,444,392 | |
| Provide Braille And Recorded Publications Services * Customers served | | 33,392 | 76.30 | 2,547,946 | |
| Federal Funds For School Districts * Number of students served. | | 2,833,115 | 637.06 | 1,804,865,668 | |
| Capitol Technical Center * Number of students served. | | 2,833,115 | 0.08 | 224,624 | |
| Public Broadcasting * Stations supported. | | 25 | 367,036.72 | 9,175,918 | |
| Provide School Readiness Services * Number of children (FTE) served in School Readiness Program | | 110,231 | 5,991.21 | 660,416,952 | |
| Provide Voluntary Prekindergarten Services And System Support * Number of children (FTE) served in VPK program (program year) | | 153,870 | 12.16 | 1,871,060 | |
| Provide Voluntary Prekindergarten (vpk) Education Services * Number of children (FTE) served in VPK program (program year) | | 153,870 | 2,614.66 | 402,318,336 | |
| Projects, Contracts And Grants * Students Served | | 2,833,115 | 0.32 | 903,780 | |
| Florida Alliance For Assistive Service And Technology * Number of clients served | | 266,075 | 4.49 | 1,194,987 | |
| Independent Living Services * Number of clients served | | 17,447 | 342.33 | 5,972,547 | |
| Vocational Rehabilitation - General Program * Number of individualized written plans for services | | 15,577 | 14,638.71 | 228,027,142 | |
| Beacon College - Tuition Assistance * Students served. | | 84 | 2,976.19 | 250,000 | |
| Able Grant * Grants awarded. | | 3,799 | 1,798.11 | 6,831,004 | |
| Medical Training And Simulation Laboratory * Students served | | 14,863 | 235.48 | 3,500,000 | |
| Embry Riddle - Aerospace Academy * Students served. | | 6,691 | 807.05 | 5,399,999 | |
| Bethune Cookman * Students served. | | 4,143 | 1,188.65 | 4,924,577 | |
| Edward Waters College * Students served. | | 1,003 | 3,653.81 | 3,664,769 | |
| Florida Memorial College * Students served. | | 962 | 4,498.91 | 4,327,947 | |
| Library Resources * Students served. | | 6,108 | 163.60 | 999,250 | |
| Florida Resident Access Grants * Students served. | | 44,131 | 2,834.06 | 125,070,020 | |
| Lecom/Florida - Health Programs * Students served. | | 760 | 2,785.40 | 2,116,907 | |
| Leadership And Management- State Financial Aid * Students Served | | 2,833,115 | 1.47 | 4,159,135 | |
| Leadership And Management- Federal Financial Aid * Students Served | | 240,000 | 47.48 | 11,396,140 | |
| Children Of Deceased/Disabled Veterans * Number of students receiving support. | | 1,427 | 5,710.93 | 8,149,496 | |
| Florida Bright Futures Scholarship * Students served. | | 94,060 | 4,223.71 | 397,282,030 | |
| Florida Education Fund * Students served. | | 230 | 13,043.48 | 3,000,000 | |
| Florida Work Experience Scholarship * Students served. | | 740 | 5,189.77 | 3,840,429 | |
| Jose Marti Scholarship Challenge Grant * Students served. | | 63 | 1,968.25 | 124,000 | |
| Mary Mcleod Bethune Scholarship * Students served. | | 138 | 2,326.09 | 321,000 | |
| Minority Teacher Scholarships * Students served. | | 269 | 3,411.89 | 917,798 | |
| Florida National Merit Scholars Incentive Program * Students served. | | 928 | 14,164.17 | 13,144,350 | |
| Postsecondary Student Assistance Grant * Students served. | | 7,013 | 4,407.62 | 30,910,666 | |
| Prepaid Tuition Scholarships * Students served. | | 1,798 | 3,893.21 | 7,000,000 | |
| Private Student Assistance Grant * Students served. | | 17,095 | 2,764.34 | 47,256,407 | |
| Public Student Assistance Grant * Students served. | | 166,933 | 1,085.04 | 181,128,338 | |
| Rosewood Family Scholarship * Students served | | 27 | 9,669.74 | 261,083 | |
| John R Justice Loan Repayment Program * Number of awards. | | 29 | 2,527.52 | 73,298 | |
| Honorably Discharged Graduate Assistance Program * Students served. | | 1,493 | 1,638.52 | 2,446,312 | |
| First Generation In College - Matching Grant Program * Students served. | | 15,650 | 678.42 | 10,617,326 | |
| Career Education * Students served. | | 4,099 | 1,491.72 | 6,114,579 | |
| Nursing Student Loan Forgiveness Program * Students served. | | 425 | 2,552.15 | 1,084,664 | |
| Funding And Support Activities * Students served. | | 260,756 | 12.70 | 3,310,480 | |
| State Grants To Districts And Community Colleges * Students Served | | 260,756 | 1,800.65 | 469,530,632 | |
| Equal Opportunity And Diversity * Students Served | | 2,833,115 | 0.14 | 406,132 | |
| TOTAL | | | | 18,039,684,972 | 1,834,926,826 |
| SECTION III: RECONCILIATION TO BUDGET | | | | | |
| PASS THROUGHS | | | | | |
| TRANSFER - STATE AGENCIES | | | | | |
| AID TO LOCAL GOVERNMENTS | | | | | |
| PAYMENT OF PENSIONS, BENEFITS AND CLAIMS | | | | | |
| OTHER | | | | 2,986,019,533 | |
| REVERSIONS | | | | 2,043,407,535 | 356,170,496 |
| TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4) | | | | 23,069,112,040 | 2,191,097,322 |

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: FLORIDA DEPARTMENT OF EDUCATION | Schedule XII Submission Date: OCTOBER 15, 2018 |
| Project Name: N/A | Is this project included in the Agency's LRPP? _____ Yes _____ No |
| FY 2019 - 2020 LBR Issue Code: | FY 2019 -2020 LBR Issue Title: |
| Agency Contact for Schedule XII (Name, Phone #, and E-mail address): N/A | |
| 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 XII: OUTSOURCING OR PRIVATIZATION OF A SERVICE OR ACTIVITY

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

7. Provide the reasons for changing the delivery or performance of the service or activity. What is the current cost of service and revenue source?

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II. Evaluation of Options

1. Provide a description of the available options for performing the service or activity and list for each option the general resources and processes needed to perform the service or activity. If state employees are currently performing the service or activity, provide at least one option involving maintaining state provision of the service or activity.

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2. For each option, describe its current market for the service or activity under consideration for outsourcing or privatizing. How many vendors are currently providing the specific service or activity on a scale similar to the proposed option? How mature is this market?

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3. List the criteria used to evaluate the options. Include a cost-benefit analysis documenting the direct and indirect specific baseline costs, savings, and qualitative and quantitative benefits involved in or resulting from the implementation of the recommended option(s).

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4. Based upon the evaluation criteria, identify and analyze the advantages and disadvantages of each option, including potential performance improvements and risks.

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5. For each option, describe the anticipated impact on the agency and the stakeholders, including impacts on other state agencies and their operations.

| |
|--|
| |
|--|

| |
|---|
| 6. Identify changes in cost and/or service delivery that will result from each option. Describe how the changes will be realized. Describe how benefits will be measured and provide the annual cost. |
| |
| 7. List the major risks for each option and how the risks could be mitigated. |
| |
| 8. Describe any relevant experience of other agencies, other states, or the private sector in implementing similar options. |
| |

III. Information on Recommended Option

| |
|--|
| 1. Identify the proposed competitive solicitation including the anticipated number of respondents. |
| |
| 2. Provide the agency's projected timeline for outsourcing or privatization of the service or activity. Include key events and milestones from the beginning of the procurement process through the expiration of a contract and key events and milestones for transitioning the service or activity from the state to the vendor. Provide a copy of the agency's transition plan for addressing changes in the number of agency personnel, affected business processes, employee transition issues including reemployment and retraining assistance plan for employees who are not retained by the agency or employed by the contractor, and communication with stakeholders such as agency clients and the public. |
| |
| 3. Identify all forms of compensation to the vendor(s) for performance of the service or activity, including in-kind allowances and state resources to be transferred to the vendor(s). Provide a detailed cost estimate of each. |
| |

| |
|--|
| <p>4. Provide an analysis of the potential impact on federal, state, and local revenues, and expenditures. If federal dollars currently fund all or part of the service or activity, what has been the response of the federal funding agency(ies) to the proposed change in the service delivery method? If federal dollars currently fund all or part of the service or activity, does the change in the service delivery method meet federal requirements?</p> |
| |
| <p>5. What responsibilities, if any, required for the performance of the service or activity will be retained and performed by the agency? What costs, including personnel costs, will the agency continue to incur after the change in the service delivery model? Provide these cost estimations. Provide the method for monitoring progress in achieving the specified performance standards within the contract.</p> |
| |
| <p>6. Describe the agency's contract management process for the outsourced or privatized service or activity, including a description of the specific performance standards that must be met to ensure adequate performance and how the agency will address potential contractor nonperformance. Attach a copy of any competitive solicitation documents, requests for quote(s), service level agreements, or similar documents issued by the agency for this competitive solicitation if available.</p> |
| |
| <p>7. Provide the agency's contingency plan(s) that describes the tasks involved in and costs required for its implementation and how the agency will resume the in-house provision of the service or activity in the event of contract termination/non-renewal.</p> |
| |
| <p>8. Identify all other Legislative Budget Request issues that are related to this proposal.</p> |
| |

| |
|--|
| <p>9. Explain whether or not the agency can achieve similar results by a method other than outsourcing or privatization and at what cost. Please provide the estimated expenditures by fiscal year over the expected life of the project.</p> |
| |
| <p>10. Identify the specific performance measures that are to be achieved or that will be impacted by changing the service's or activity's delivery method.</p> |
| |
| <p>11. Provide a plan to verify vendor(s) compliance with public records laws.</p> |
| |
| <p>12. If applicable, provide a plan to verify vender compliance with applicable federal and state law ensuring access by persons with disabilities.</p> |
| |
| <p>13. If applicable, provide a description of potential differences among current agency policies or processes and a plan to standardize, consolidate, or revise current policies or processes.</p> |
| |
| <p>14. If the cost of the outsourcing is anticipated to exceed \$10 million in any given fiscal year, provide a copy of the business case study (and cost benefit analysis if available) prepared by the agency for the activity or service to be outsourced or privatized pursuant to the requirements set forth in s. 287.0571, F.S.</p> |
| |

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

| |
|---------------------------------|
| Contact Information |
| Agency: Department of Education |
| Name: N/A |
| 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 CEFPP Checklist DFS-A1-410 with this schedule.

| |
|--|
| 1. Commodities proposed for purchase. |
| N/A |
| 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 Education Contact: DOE - Linda Champion / BOG - Tim Jones / OEL - Bill Ammons

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

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

Yes No

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2018-2019 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

| Financial Outlook Budget Driver | Issue (Revenue or Budget Driver) | R/B* | FY 2018-2019 Estimate/Request Amount | |
|---------------------------------|--|------|--------------------------------------|----------------------------|
| | | | Long Range Financial Outlook | Legislative Budget Request |
| #1 | a Maintain Current Budget - FEFP | B | 154.0 | 154.0 |
| #2 | b Workload and Enrollment - FEFP - Critical Needs | B | 197.0 | 234.2 |
| #3 | c Adjustment to Offset Tax Roll Changes - FEFP | B | (509.1) | (534.0) |
| | d Debt Service - Fixed Capital Outlay | B | 0.0 | (70.2) |
| | e Maintenance and Repair | B | 0.0 | 184.8 |
| #4 | f Workload and Enrollment - VPK | B | 3.4 | 11.6 |
| #5 | g Workload and Enrollment - Bright Futures and CSDDV | B | (50.1) | 23.4 |
| #6 | h EETF Adjustment | B | 0.0 | 0.0 |
| | i Maintain Current Budget - Other K-12 | B | 0.0 | 4.7 |
| | j EETF Adjustment - Bright Futures Scholarship Increase - FEFP - Other High Priority Needs | B | 0.0 | 0.0 |
| #20 | k Increase Total Funds per FTE Student - FEFP - Other High Priority Needs | B | 357.5 | 0.0 |
| #21 | l Maintain FY 2017-18 Total Amount of Required Local Effort - FEFP - Other High Priority Needs | B | 425.8 | 449.9 |
| #22 | m Additional Cost Required to Implement Both Increase Total Funds per Student and Maintain the FY 2017-18 Required Local Effort - FEFP - Other High Priority | B | 16.1 | 0.0 |
| #23 | n Workload and Enrollment - Other Pre K-12 Programs | B | 111.5 | 0.8 |
| | o Workload - Workforce | B | 0.0 | 11.9 |
| | p Maintain Current Budget - Other Education | B | 0.0 | 1.9 |
| | q Maintain Current Budget - VPK | B | 0.0 | 26.3 |
| #24 | r Bright Futures - FL Academic Scholars - Tuition Diff. & Tech. Fees | B | 71.7 | 0.0 |
| #25 | s EETF Adjustment - Additional Costs for Tuition Diff. and Tech Fees | B | 0.0 | 0.0 |
| #26 | t Maintain Current Budget - Higher Education | B | 40.0 | 40.0 |
| #27 | u Workload - Florida Colleges | B | 23.5 | 34.0 |
| #28 | v Workload - State Universities | B | 169.5 | 132.3 |
| #29 | w Workload and Adjustments - Other Higher Education Programs | B | 43.9 | 0.0 |
| #30 | x Anticipated New Space Costs for Colleges and Universities | B | 2.5 | 18.0 |
| #31 | y Education Fixed Capital Outlay | B | 100.2 | 0.0 |
| | Tier 1 & 2 - Subtotal Critical and High Priority Needs | | 1157.4 | 723.6 |
| | | | | |
| | z Other Educational Workload Issues | B | 0.0 | 17.3 |
| ab | Other Education Fixed Capital Outlay | B | 0.0 | 228.7 |
| ac | New initiatives/Programs/Enhancements - Pre K-12 Programs | B | 0.0 | 12.0 |
| ad | New initiatives/Programs/Enhancements - Colleges | B | 0.0 | 0.0 |
| ae | New initiatives/Programs/Enhancements - Other Education | B | 0.0 | 8.5 |
| af | New Initiatives/Programs/Enhancements - Universities | B | 0.0 | 0.0 |
| | Tier 3 - New and Enhancements | | 0.0 | 266.5 |
| ag | University Tuition Authority | | 0.0 | 0.0 |
| | Tier 4 - Tuition Authority | | 0.0 | 0.0 |
| | | | 1157.4 | 990.1 |
| ah | General Revenue | R | 33,925.1 | 13,716.8 |
| ai | Educational Enhancement Trust Fund | R | 2,185.6 | 1,672.2 |
| aj | State School Trust Fund | R | 120.5 | 120.5 |

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 Legislative Budget Request is based on the independent judgement of the State Board of Education, the Board of Governors, and the Office of Early Learning in identifying the needs for education. See chart below which reconciles the variance between the Long Range Financial Outlook and the Department of Education's Legislative Budget Request.

| | LBR (Under)/ Over Outlook |
|---|--|
| | Tier 1 & 2 Variance (433.8) |
| LBR provided a 2.74% increase in total funds per FTE (a, b, c) | 12.3 |
| Additional Tier 1 Needs (d,e) | 114.6 |
| LBR represents an increase in the base student allocation for the VPK program (f) | 8.2 |
| Bright Futures includes tuition differential and technology fees (g,r) | 1.8 |
| Restoration of non-recurring issues (i) | 4.7 |
| Funding for LBR is in critical needs sections 1, 2, & 3 (k) | (357.5) |
| Required local effort was not decreased in agency LBR - Funding in LBR is in critical needs sections 1, 2, & 3 (l,m) | 8.0 |
| Long-Range Financial Outlook includes amounts for Other High Priority Needs funding including FL School for the Deaf and the Blind, Scholarship Programs, and Standard Student Attire Incentive Program (n) | (110.7) |
| Workforce sector not addressed in Long-Range Financial Outlook (o) | 11.9 |
| LBR includes restoration of non-recurring programs (p,q) | 28.2 |
| Long-Range Financial Outlook includes a 3 year average appropriation increase (u) | 10.5 |
| Long-Range Financial Outlook includes a 3 year average appropriation increase (v, w) | (81.1) |
| Long-Range Financial Outlook includes \$1.5 million for state universities and \$1.0 million for colleges for new space. LBR includes \$18 million for state universities for new space of E&G facilities (x) | 15.5 |
| PECO 3 year average estimate and forecast identifies gap (y) | (100.2) |
| All Tier 1 and 2 Variances accounted for | (433.8) |

* R/B = Revenue or Budget Driver
Office of Policy and Budget - July 2017

**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: FLORIDA DEPARTMENT OF EDUCATION |
| Name: Linda Champion |
| Phone: 850-245-0406 |
| E-mail address: linda.champion@fldoe.org |

| | | |
|--|---------------------|---------------------------------|
| 1. Vendor Name | | |
| The Department of Education does not have any contracts in which we receive in excess of \$10 million from a vendor. | | |
| 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) |
| | | |



FLORIDA DEPARTMENT OF
EDUCATION
fdoe.org

2019-20

Fixed Capital Outlay
Exhibits or Schedules



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

2019-20

Fixed Capital Outlay

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | LOTTERY CAPITAL OUTLAY/DEBT SERVICE TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2004 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | <input type="text"/> | (A) | <input type="text"/> | - |
| ADD: Other Cash (See Instructions) | <input type="text"/> | (B) | <input type="text"/> | - |
| ADD: Investments | 3,287,225.82 | (C) | <input type="text"/> | 3,287,225.82 |
| ADD: Outstanding Accounts Receivable | 5,225.21 | (D) | <input type="text"/> | 5,225.21 |
| ADD: _____ | <input type="text"/> | (E) | <input type="text"/> | - |
| Total Cash plus Accounts Receivable | 3,292,451.03 | (F) | - | 3,292,451.03 |
| LESS Allowances for Uncollectibles | <input type="text"/> | (G) | <input type="text"/> | - |
| LESS Approved "A" Certified Forwards | <input type="text"/> | (H) | <input type="text"/> | - |
| Approved "B" Certified Forwards | <input type="text"/> | (H) | <input type="text"/> | - |
| Approved "FCO" Certified Forwards | 1,608,832.81 | (H) | <input type="text"/> | 1,608,832.81 |
| LESS: Other Accounts Payable (Nonoperating) | 328.71 | (I) | <input type="text"/> | 328.71 |
| LESS: _____ | <input type="text"/> | (J) | <input type="text"/> | - |
| Unreserved Fund Balance, 07/01/18 | 1,683,289.51 | (K) | - | 1,683,289.51 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | |
|-----------------------------|---|
| | Budget Period: 2019 - 2020 |
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | LOTTERY CAPITAL OUTLAY/DEBT SERVICE TRUST FUND |
| LAS/PBS Fund Number: | 2004 DEPARTMENT |

BEGINNING TRIAL BALANCE:

| | |
|--|---------------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | 3,292,122.32 (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | [] (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | [] (C) |
| SWFS Adjustment # and Description | [] (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | [] (D) |
| Approved FCO Certified Forward per LAS/PBS | (1,608,832.81) (D) |
| A/P not C/F-Operating Categories | [] (D) |
| | [] (D) |
| | [] (D) |
| | [] (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 1,683,289.51 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 1,683,289.51 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 48 EDUCATION **Budget Period 2019 - 20**
Budget Entity: 48150000/2004 Lottery Revenue Bonds

| (1) | (2) | (3) | (4) |
|----------------------------|------------------------|---------------------|---------------------|
| SECTION I | ACTUAL | ESTIMATED | REQUEST |
| | FY 2017 - 18 | FY 2018 - 19 | FY 2019 - 20 |
| Interest on Debt | (A) 73,306,977 | 59,641,779 | 49,742,970 |
| Principal | (B) 244,688,000 | 199,770,000 | 172,525,000 |
| Repayment of Loans | (C) | | |
| Fiscal Agent or Other Fees | (D) 144,044 | 119,575 | 99,598 |
| Other Debt Service | (E) | | |
| Total Debt Service | (F) 318,139,021 | 259,531,354 | 222,367,568 |

Explanation: The Classrooms First and Classrooms for Kids Programs are funded through the issuance of bonds supported by lottery revenues. The Classrooms First Program was an initiative to provide permanent classrooms while the Classrooms for Kids Program was to assist school districts in complying with the constitutional class size reduction requirements. Bonds were issued in fiscal year 2012-13 to fund higher education facilities projects.

SECTION II

ISSUE:

| (1) | (2) | (3) | (4) | (5) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
| (6) | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fees | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

ISSUE:

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fees | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | CAPITAL IMPROVEMENT FEE TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2071 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|-----------------------|
| Chief Financial Officer's (CFO) Cash Balance | [] | (A) | [] | - |
| ADD: Other Cash (See Instructions) | [] | (B) | [] | - |
| ADD: Investments | 101,555,339.23 | (C) | [] | 101,555,339.23 |
| ADD: Outstanding Accounts Receivable | 1,683,593.26 | (D) | [] | 1,683,593.26 |
| ADD: Anticipated Revenue | 1,405,096.92 | (E) | [] | 1,405,096.92 |
| Total Cash plus Accounts Receivable | 104,644,029.41 | (F) | - | 104,644,029.41 |
| LESS Allowances for Uncollectibles | [] | (G) | [] | - |
| LESS Approved "A" Certified Forwards | [] | (H) | [] | - |
| Approved "B" Certified Forwards | [] | (H) | [] | - |
| Approved "FCO" Certified Forwards | 104,633,837.23 | (H) | [] | 104,633,837.23 |
| LESS: Other Accounts Payable (Nonoperating) | 10,192.18 | (I) | [] | 10,192.18 |
| LESS: _____ | [] | (J) | [] | - |
| Unreserved Fund Balance, 07/01/18 | 0.00 | (K) | - | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | |
|-----------------------------|--|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | CAPITAL IMPROVEMENT FEE TRUST FUND |
| LAS/PBS Fund Number: | 2071 DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|-----------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 103,228,740.31 | (A) |
|--|-----------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | | (D) |
|---|--|-----|

| | | |
|--|-------------------------|-----|
| Approved FCO Certified Forward per LAS/PBS | (104,633,837.23) | (D) |
|--|-------------------------|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | | (D) |
|----------------------------------|--|-----|

| | | |
|---------------------|---------------------|-----|
| Anticipated Revenue | 1,405,096.92 | (D) |
|---------------------|---------------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|---------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | (0.00) | (E) |
|--|---------------|-----|

| | | |
|--|-------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 0.00 | (F) |
|--|-------------|-----|

| | | |
|--------------------|---------------|------|
| DIFFERENCE: | (0.00) | (G)* |
|--------------------|---------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 48 EDUCATION **Budget Period 2019 - 20**
Budget Entity: 48150000/2071 University System Improvement Revenue Bonds

| (1) | (2) | (3) | (4) |
|----------------------------|-----------------------|---------------------|---------------------|
| SECTION I | ACTUAL | ESTIMATED | REQUEST |
| | FY 2017 - 18 | FY 2018 - 19 | FY 2019 - 20 |
| Interest on Debt | (A) 5,765,004 | 4,575,907 | 4,093,407 |
| Principal | (B) 9,525,000 | 9,945,000 | 10,295,000 |
| Repayment of Loans | (C) | | |
| Fiscal Agent or Other Fees | (D) 11,504 | 10,681 | 9,686.00 |
| Other Debt Service | (E) | | |
| Total Debt Service | (F) 15,301,508 | 14,531,588 | 14,398,093 |

Explanation: The University System Capital Improvement Fee and Building Fee Program is funded through the issuance of bonds secured by capital improvement fees and net student building fees. The Program is an initiative to provide funds for university student-related fixed capital outlay projects.

SECTION II

ISSUE:

| (1) | (2) | (3) | (4) | (5) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
| (6) | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | | (G) | | |
| Principal | | (H) | | |
| Fiscal Agent or Other Fees | | (I) | | |
| Other | | (J) | | |
| Total Debt Service | | (K) | | |

ISSUE:

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | | (G) | | |
| Principal | | (H) | | |
| Fiscal Agent or Other Fees | | (I) | | |
| Other | | (J) | | |
| Total Debt Service | | (K) | | |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | STATE UNIVERSITY SYSTEM (SUS) CONSTRUCTION TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2137 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 61,402.97 | (A) | | 61,402.97 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | | (D) | | - |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 61,402.97 | (F) | - | 61,402.97 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | 61,392.97 | (H) | | 61,392.97 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | - |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 10.00 | (K) | - | 10.00 ** |

Notes:
 *SWFS = Statewide Financial Statement
 ** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | |
|-----------------------------|--|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | STATE UNIVERSITY SYSTEM (SUS) CONSTRUCTION TRUST FUND |
| LAS/PBS Fund Number: | 2137 |

Department

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 61,402.97 | (A) |
|--|------------------|-----|

Subtract Nonspendable Fund Balance (GLC 56XXX)

| | | |
|--|--|-----|
| | | (B) |
|--|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | | (D) |
|---|--|-----|

| | | |
|--|--------------------|-----|
| Approved FCO Certified Forward per LAS/PBS | (61,392.97) | (D) |
|--|--------------------|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | | (D) |
|----------------------------------|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

ADJUSTED BEGINNING TRIAL BALANCE:

| | | |
|--|--------------|-----|
| | 10.00 | (E) |
|--|--------------|-----|

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)

| | | |
|--|--------------|-----|
| | 10.00 | (F) |
|--|--------------|-----|

DIFFERENCE:

| | | |
|--|-------------|------|
| | 0.00 | (G)* |
|--|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

| | |
|-----------------------------|---|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | DIV OF UNIV FACILITY CONSTRUCTION ADMINISTRATIVE TRUST FUND |
| Budget Entity: | DEPARTMENT |
| LAS/PBS Fund Number: | 2222 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 55,071.76 | (A) | | 55,071.76 |
| ADD: Other Cash (See Instructions) | | (B) | | 0 |
| ADD: Investments | | (C) | | 0 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 55,071.76 | (F) | - | 55,071.76 |
| LESS Allowances for Uncollectibles | | (G) | | 0 |
| LESS Approved "A" Certified Forwards | 26,191.80 | (H) | | 26,191.80 |
| Approved "B" Certified Forwards | 3,546.13 | (H) | | 3,546.13 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0 |
| LESS: _____ | | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | 25,333.83 | (K) | - | 25,333.83 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: DIV OF UNIV FACILITY CONSTRUCTION ADMINISTRATIVE TRUST FUND
LAS/PBS Fund Number: 2222

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; 28,797.46 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX)

_____ (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description _____ (C)

SWFS Adjustment # and Description _____ (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (3,546.13) (D)

Approved FCO Certified Forward per LAS/PBS _____ (D)

A/P not C/F-Operating Categories 82.50 (D)

_____ (D)

_____ (D)

_____ (D)

ADJUSTED BEGINNING TRIAL BALANCE: 25,333.83 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 25,333.83 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | PUBLIC EDUCATION CAPITAL OUTLAY & DEBT SERVICE TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2555 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|-------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,061,984.17 | (A) | | 1,061,984.17 |
| ADD: Other Cash (See Instructions) | 471.82 | (B) | | 471.82 |
| ADD: Investments | 536,693,673.39 | (C) | | 536,693,673.39 |
| ADD: Outstanding Accounts Receivable | 59,364,480.05 | (D) | | 59,364,480.05 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 597,120,609.43 | (F) | - | 597,120,609.43 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | 525,012,523.17 | (H) | | 525,012,523.17 |
| LESS: Other Accounts Payable (Nonoperating) | 48,254.75 | (I) | | 48,254.75 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 72,059,831.51 | (K) | - | 72,059,831.51 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: PUBLIC EDUCATION CAPITAL OUTLAY & DEBT SERVICE TRUST FUND
LAS/PBS Fund Number: 2555 DEPARTMENT

BEGINNING TRIAL BALANCE:

| | |
|--|---------------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 595,936,180.12 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
| Approved FCO Certified Forward per LAS/PBS | (525,012,523.17) (D) |
| A/P not C/F-Operating Categories | (D) |
| A/P not C/F-FCO | 1,136,174.56 (D) |
| | (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 72,059,831.51 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 72,059,831.51 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 48 EDUCATION **Budget Period 2019 - 20**
Budget Entity: 48150000/2555 Public Education Capital Outlay Bonds

| (1) | (2) | (3) | (4) |
|---------------------------|------------------------|---------------------|---------------------|
| SECTION I | ACTUAL | ESTIMATED | REQUEST |
| | FY 2017 - 18 | FY 2018 - 19 | FY 2019 - 20 |
| Interest on Debt | (A) 377,992,692 | 359,103,537 | 334,571,149 |
| Principal | (B) 459,255,000 | 495,320,000 | 515,755,000 |
| Repayment of Loans | (C) | | |
| Fiscal Agent or Other Fee | (D) 803,655 | 789,492 | 739,960 |
| Other Debt Service | (E) | | |
| Total Debt Service | (F) 838,051,347 | 855,213,029 | 851,066,109 |

Explanation: These bonds are issued to fund K-20 educational facilities and are payable from Gross Receipts Taxes. The bonds are additionally secured by the full faith and credit of the State of Florida.

SECTION II

ISSUE:

| (1) | (2) | (3) | (4) | (5) |
|---------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
| (6) | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fee | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

ISSUE:

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
|---------------------------|----------------------|---------------------|----------------------|----------------------|
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fee | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | SCH DIST & COMM COLLEGE DIST CAPITAL OUTLAY & DEBT SERV TF |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2612 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | [] | (A) | [] | - |
| ADD: Other Cash (See Instructions) | [] | (B) | [] | - |
| ADD: Investments | 0.66 | (C) | [] | 0.66 |
| ADD: Outstanding Accounts Receivable | 98,309.28 | (D) | 3,340,590.86 | 3,438,900.14 |
| ADD: _____ | [] | (E) | [] | - |
| Total Cash plus Accounts Receivable | 98,309.94 | (F) | 3,340,590.86 | 3,438,900.80 |
| LESS Allowances for Uncollectibles | [] | (G) | [] | - |
| LESS Approved "A" Certified Forwards | [] | (H) | [] | - |
| Approved "B" Certified Forwards | [] | (H) | [] | - |
| Approved "FCO" Certified Forwards | - | (H) | [] | - |
| LESS: Other Accounts Payable (Nonoperating) | 6,184.71 | (I) | [] | 6,184.71 |
| LESS: _____ | [] | (J) | [] | - |
| Unreserved Fund Balance, 07/01/18 | 92,125.23 | (K) | 3,340,590.86 | 3,432,716.09 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | |
|-----------------------------|---|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | SCH DIST & COMM COLLEGE DIST CAPITAL OUTLAY & DEBT SERV TF |
| LAS/PBS Fund Number: | 2612 |

DEPARTMENT

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; 92,125.23 (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment B4800001, Due From Other
Departments (Receivable Due from DHSMV (OLO
760000)) 3,340,590.86 (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved FCO Certified Forward per LAS/PBS 0.00 (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 3,432,716.09 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 3,432,716.09 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE VI: DETAIL OF DEBT SERVICE

Department: 48 EDUCATION **Budget Period 2019 - 20**
Budget Entity: 48150000/2612 Capital Outlay & Debt Service

| (1) | (2) | (3) | (4) |
|----------------------------|-----------------------|---------------------|---------------------|
| SECTION I | ACTUAL | ESTIMATED | REQUEST |
| | FY 2017 - 18 | FY 2018 - 19 | FY 2019 - 20 |
| Interest on Debt | (A) 6,557,250 | 4,999,925 | 4,164,625 |
| Principal | (B) 43,140,000 | 19,950,000 | 16,415,000 |
| Repayment of Loans | (C) | | |
| Fiscal Agent or Other Fees | (D) 12,253 | 12,253 | 10,258.00 |
| Other Debt Service | (E) | | |
| Total Debt Service | (F) 49,709,503 | 24,962,178 | 20,589,883 |

Explanation: These bonds are issued in support of the School Capital Outlay Amendment to provide funding for projects at the Florida colleges and public school districts.
The bonds are secured by motor vehicle license tax revenues.

SECTION II

ISSUE:

| (1) | (2) | (3) | (4) | (5) |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
| (6) | | (7) | (8) | (9) |
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fees | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

ISSUE:

| INTEREST RATE | MATURITY DATE | ISSUE AMOUNT | JUNE 30, 20__ | JUNE 30, 20__ |
|----------------------------|----------------------|---------------------|----------------------|----------------------|
| | | ACTUAL | ESTIMATED | REQUEST |
| | | FY 20__ - __ | FY 20__ - __ | FY 20__ - __ |
| Interest on Debt | (G) | | | |
| Principal | (H) | | | |
| Fiscal Agent or Other Fees | (I) | | | |
| Other | (J) | | | |
| Total Debt Service | (K) | | | |

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service): Education/Fixed Capital Outlay

Agency Budget Officer/OPB Analyst Name: Alicia Bevis

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 | 48150000 |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|---|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |

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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | |
|---|-----|-----|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48150000 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48150000 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 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 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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48150000 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48150000 | | | | |
| 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y, FOR TF 2176 & 2380 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|--|--|--|--|
| Action | | 48150000 | | | | |
| 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, FOR 2176 ONLY | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y, FOR 2178, 2543, 2555, 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y, FOR 2176 ONLY | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB ONLY | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|-------------------------------------|---|--|--|--|--|--|
| Action | | 48150000 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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. | | | | | |

| | | | | | |
|--------|--|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 48150000 | | | | |

12. SCHEDULE VIIIA (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 | | | | |

13. SCHEDULE VIIIB-1 (EADR, S8B1)

| | | | | | |
|--|--|--|--|--|--|
| 13.1 NOT REQUIRED FOR THIS YEAR | | | | | |
|--|--|--|--|--|--|

14. SCHEDULE VIIIB-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.) | N/A | | | | |
|--|-----|--|--|--|--|

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

| | | | | | |
|--|------------|--|--|--|--|
| 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 | | | | |
| 15.2 Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |

AUDIT:

| | | | | | |
|---|-----|--|--|--|--|
| 15.6 Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
|--|---|--|--|--|--|

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48150000 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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 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 | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |

| | | | | | |
|----------------------------------|---|--|--|--|--|
| | | Program or Service (Budget Entity Codes) | | | |
| Action | | 48150000 | | | |
| 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? | mean "in lieu of" the CIP requirements. | | | |
| 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 | | | |



FLORIDA DEPARTMENT OF
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2019-20

Vocational Rehabilitation
Exhibits or Schedules



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2019-20

Vocational Rehabilitation
Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | FEDERAL REHABILITATION TRUST FUND |
| LAS/PBS Fund Number: | 48160000 VOCATIONAL REHABILITATION |
| | 2270 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 414,810 | (A) | | 414,810 |
| ADD: Other Cash (See Instructions) | 47,262 | (B) | | 47,262 |
| ADD: Investments | 1,008,691 | (C) | | 1,008,691 |
| ADD: Outstanding Accounts Receivable | 118,557 | (D) | | 118,557 |
| ADD: ANTICIPATED REVENUES | 22,122,246 | (E) | | 22,122,246 |
| Total Cash plus Accounts Receivable | 23,711,567 | (F) | - | 23,711,567 |
| LESS Allowances for Uncollectibles | 87,625 | (G) | | 87,625 |
| LESS Approved "A" Certified Forwards | 247,752 | (H) | | 247,752 |
| Approved "B" Certified Forwards | 23,173,786 | (H) | | 23,173,786 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 202,405 | (I) | | 202,405 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | (0.00) | (K) | - | (0.00)** |

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - June 2018

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | |
|-----------------------------|--|
| | Budget Period: 2019 - 2020 |
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | FEDERAL REHABILITATION TRUST FUND |
| LAS/PBS Fund Number: | 2270 BE: 48160000 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 1,002,206 | (A) |
|--|------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|---------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (23,173,786) | (D) |
|---|---------------------|-----|

| | | |
|--|--|-----|
| Approved FCO Certified Forward per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|---------------|-----|
| A/P not C/F-Operating Categories | 49,333 | (D) |
|----------------------------------|---------------|-----|

| | | |
|----------------------|-------------------|-----|
| ANTICIPATED REVENUES | 22,122,246 | (D) |
|----------------------|-------------------|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | | |
|--|-------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 0.00 | (E) |
|--|-------------|-----|

| | | |
|--|---------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | (0.00) | (F) |
|--|---------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | GRANTS & DONATIONS TRUST FUND |
| LAS/PBS Fund Number: | 48160000 VOCATIONAL REHABILITATION |
| | 2339 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 8,537 | (A) | | 8,537 |
| ADD: Other Cash (See Instructions) | 1,040 | (B) | | 1,040 |
| ADD: Investments | 138,401 | (C) | | 138,401 |
| ADD: Outstanding Accounts Receivable | 10,662 | (D) | | 10,662 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 158,640 | (F) | - | 158,640 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 9 | (I) | | 9 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 158,631 | (K) | - | 158,631 ** |

Notes:

*SWFS = Statewide Financial Statement

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

Office of Policy and Budget - June 2018

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|--|---------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | GRANTS & DONATIONS TRUST FUND | |
| LAS/PBS Fund Number: | 2339 | BE: 48160000 |

BEGINNING TRIAL BALANCE:

| | |
|---|-------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | 158,631 (A) |
| GLC 539XX for proprietary and fiduciary funds | |

| | |
|---|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
|---|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------------------------|-----|
| SWFS Adjustment # and Description | (C) |
|-----------------------------------|-----|

| | |
|-----------------------------------|-----|
| SWFS Adjustment # and Description | (C) |
|-----------------------------------|-----|

Add/Subtract Other Adjustment(s):

| | |
|---|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
|---|-----|

| | |
|--|-----|
| Approved FCO Certified Forward per LAS/PBS | (D) |
|--|-----|

| | |
|----------------------------------|-----|
| A/P not C/F-Operating Categories | (D) |
|----------------------------------|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|-------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | 158,631 (E) |
|--|-------------|

| | |
|--|-------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 158,631 (F) |
|--|-------------|

| | |
|--------------------|-----------|
| DIFFERENCE: | 0.00 (G)* |
|--------------------|-----------|

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B VR CLIENT MANAGEMENT SYSTEM

For Fiscal Year 2019-20




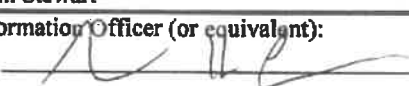



October 18, 2018

FLORIDA DEPARTMENT OF EDUCATION
DIVISION OF VOCATIONAL REHABILITATION

Contents

- I. Schedule IV-B Cover Sheet 2
 - General Guidelines..... 4
 - Documentation Requirements..... 4
- II. Schedule IV-B Business Case – Strategic Needs Assessment..... 5
 - A. Background and Strategic Needs Assessment 5
 - 1. Business Need 5
 - 2. Business Objectives..... 8
 - B. Baseline Analysis..... 10
 - 1. Current Business Process(es) 10
 - 2. Assumptions and Constraints 11
 - C. Proposed Business Process Requirements 12
 - 1. Proposed Business Process Requirements..... 12
 - 2. Business Solution Alternatives..... 12
 - 3. Rationale for Selection 13
 - 4. Recommended Business Solution 13
 - D. Functional and Technical Requirements..... 13
- III. Success Criteria 15
- IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis..... 17
 - A. Benefits Realization Table..... 17
 - B. Cost Benefit Analysis (CBA)..... 18
- V. Schedule IV-B Major Project Risk Assessment..... 19
- VI. Schedule IV-B Technology Planning 20
 - A. Current Information Technology Environment 20
 - 1. Current System 20
 - 2. Information Technology Standards 22
 - B. Current Hardware and/or Software Inventory..... 22
 - C. Proposed Technical Solution 22
 - D. Proposed Solution Description 23
 - 1. Summary Description of Proposed System 23
 - 2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)..... 23
 - E. Capacity Planning (*historical and current trends versus projected requirements*)..... 24
- VII. Schedule IV-B Project Management Planning 24
- VIII. Appendices 24

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|--|
| Agency: Department of Education | Schedule IV-B Submission Date: 10/19/2018 |
| Project Name: VR Client Management System | Is this project included in the Agency's LRPP? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2019-20 LBR Issue Code: | FY 2019-20 LBR Issue Title: |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Business: Julie Kates, 850-245-3338, Julia.Kates@vr.fl DOE.org Technology: Jason Roland, 850-245-3411, Jason.Roland@vr.fl DOE.org | |
| 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: Pam Stewart | |
| Agency Chief Information Officer (or equivalent):  | Date: 10/18/18 |
| Printed Name: Andre Smith | |
| Budget Officer:  | Date: 10/18/18 |
| Printed Name: Linda Champion | |
| Planning Officer:  | Date: 10/18/18 |
| Printed Name: Allison Flanagan | |
| Project Sponsor:  | Date: 10/18/18 |
| Printed Name: Allison Flanagan | |
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| Business Need: | Julie Kates, 850-245-3338, Julia.Kates@vr.fl DOE.org |
| Cost Benefit Analysis: | Jason Roland, 850-245-3411, Jason.Roland@vr.fl DOE.org |
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General Guidelines

The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the D-3A issue narrative submitted with an agency's Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is \$1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Technical Solution
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4)(a)10, F.S. is also required if the total cost for all years of the project is \$10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

Submit all component files of the agency's Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@LASPBS.STATE.FL.US. Reference the D-3A issue code and title in the subject line.

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

A. Background and Strategic Needs Assessment

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

1. Business Need

The mission of the Department of Education (DOE), Division of Vocational Rehabilitation (the Division) is to help people with disabilities find and maintain employment, and enhance their independence. In order to fulfill this mission, the Division performs case, service, vendor, employer, and financial management services, relating to employment, in accordance with State and Federal regulations. The program is administered through the Office of the Director and four Bureaus: the Bureau of Field Services, the Bureau of Program Accountability, the Bureau Technologies and System Development, and the Bureau of Vendor and Contracted Services.

In 2014, the federal government passed the Workforce Innovation and Opportunity Act (WIOA), which is designed to give job seekers easier access to employment, education, training, and support services needed to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. WIOA also requires the Division to coordinate planning and services and to regularly share data with core partners (Department of Economic Opportunity, CareerSource Florida, DOE Blind Services, DOE Career and Adult Education).

There are four primary conditions that contribute to the need being addressed by this proposal:

1. VR underperforms in meeting its primary mission to assist individuals with disabilities to find and maintain employment because the agency loses contact with significant numbers of customers during the rehabilitation process. Florida's population of potentially eligible VR customers tends to be transient.
2. VR underperforms in meeting federal deadlines for making casework decisions.
3. VR must improve service delivery in order to meet the mandate to spend 15 percent of the federal grant on Pre-employment Transition services.
4. VR must improve employee effectiveness by reducing turnover and increasing resources and training.

1. VR underperforms in meeting its primary mission to assist people to find and maintain employment because the agency loses contact with significant numbers of customers during the rehabilitation process. Florida's population of potentially eligible VR customers tends to be transient.

- a. Description of the Condition – The vocational rehabilitation (VR) process can be long. Over the last five years, the average time a customer spent in the VR process from application to successfully achieving an employment outcome was 2.76 years. The process can be complex and goes through distinct steps that are described in section II(B)(1). The Division must communicate effectively with customers throughout the process to have a successful

outcome. The average time from application to a case being closed because a customer is no longer interested is nineteen months. The average time from application to closure resulting from a loss in contact is two years.

b. Impact of the Project on the Condition

The communications solutions in the project will:

- Enhance customer control over services by creating a portal by allowing customers to go into the portal and see the information they need on demand.
- Use of automated communication (text, voice, email) generates reminders about appointments or due dates to promote independence of customers.

2. VR underperforms in meeting federal deadlines for making eligibility decisions.

a. Description of the Condition – Division customers have the right to a decision about their eligibility for services within 60 days of application and to have an Individualized Plan for Employment created within 90 days of the eligibility decision.

The Division is reviewed periodically by the Rehabilitation Services Administration (RSA) and annually by the Florida Auditor General (AG). From 2013 through 2017, the Division was found to be out of compliance with this requirement repeatedly. The Division has a systemic, long-term problem that is not adequately addressed by training or policy changes.

b. Impact of the Project on the Condition

The Division must address this systemic challenge with multiple, systemic solutions.

- Modernizing communications will enable counselors to maintain timely contact with customers throughout the eligibility determination and IPE development process, thus reducing administrative delays.
- Creating a portal for customers will enable them to keep track of appointments for diagnostic and other evaluations and stay updated about their progress in the process, timeframes, and deadlines.
- Specific documentation requirements, deadline timers, automatically generated communication with customers and service providers, and other features, will be designed to assist VR counselors to make timely decisions.
- Electronic signatures will be used to document eligibility decisions, IPE development, and extensions of mandatory timelines under specific circumstances proscribed by law.
- The system will also be designed to facilitate better quality assurance.

3. VR must improve service delivery in order to meet the mandate to spend 15 percent of the federal grant on Pre-employment Transition services.

a. Description of the Condition – WIOA requires each state VR program to reserve 15 percent of its federal grant for the provision of pre-employment transition services to students

with disabilities (individuals from age 15 to 22 in a secondary, postsecondary, or other recognized education program).

Pre-Employment Transition Services (pre-ETS) are a defined set of services intended to help students with disabilities learn about employment opportunities at an early age. Service delivery to mobile, technologically savvy students with disabilities poses distinct challenges that will be addressed by this project.

The requirement to provide pre-employment transition services has sharpened the focus on serving students with disabilities; however, the Division has experienced systemic challenges to expending the 15 percent set aside.

b. Impact of the Project on the Condition

- By including mechanisms for communicating more effectively via web-based and text-based technology, we will reach the students with disabilities using the mode of communication with which they are most comfortable and accessible.
4. VR must improve employee effectiveness by reducing turnover and increasing resources and training.

a. Description of the Condition – Providing services to individuals with disabilities requires specialized training and experience. High turnover rates have a negative impact on service delivery. A lack of continuity, decreased frequency of contacts with customers and poor documentation, caused delays and other consequences for customers. People with disabilities don't remain engaged in a process when the person they rely on for assistance is unavailable. It is reasonable to conclude that the numbers of cases closed from lack of interest and lost contact are related to counselor turnover.

b. Impact of the Project on the Condition – This project will help us engage all counseling staff in several ways:

- This project makes a concerted effort to include the users of the system in the design, training, and implementation.
- The system will enable VR counselors to spend their time working with customers on career goals, rather than responding to requests for information that are easily obtained via the on demand customer portal.
- Providing counselors with the opportunity to use modernized, mobile communication options will also simplify processes for counselors and customers.

2. Business Objectives

1. The Division will reduce the number of applicants whose cases are closed because of lost contact by modernizing, mobilizing and automating communication options.
 - a. Solution's Impact – The Division's primary mission is to assist individuals with disabilities to become employed in meaningful careers. That mission cannot be met if we lose contact with customers during the process. This solution streamlines and modernizes communication methods to better engage customers, facilitate more effective communication, and put control over information more in the hands of customers.
 - b. Relationship to Internal and Other Measures – We anticipate that this solution:
 - i. Reduce the number of cases closed because of lack of contact.
 - ii. Reduce the number of cases closed because of lack of interest.
 - iii. Increase customer satisfaction related to communications with counselors.
 - iv. Increase compliance with mandatory timeframes.
 - v. Increase customer success overall by engaging customers more effectively in the VR process.
 - c. Measuring the Effectiveness of the Solution – The Division will use several methods to evaluate the effectiveness of the solution.
 - i. Quarterly federal reports on service delivery, including reasons for case closure.
 - ii. Regular customer satisfaction reporting via a contract with an outside contractor with expertise in assessing satisfaction with VR services.
 - iii. Audit report findings relating to compliance with federal guidelines.
 - iv. Feedback from consumers within the system to guide development and improvements.
2. The Division will increase compliance with federal deadlines for casework milestones by creating systems that enhance accountability.
 - a. Solution's Impact – The Division's history of non-compliance with federal deadlines for eligibility decisions and IPE development cannot be addressed by policy changes and training alone. We must create systems and processes that are efficient for both VR counselors and customers. A system that gives customers direct access to information about their case, appointments, deadlines, and information needed in the decision-making process will reduce the need for VR staff members to engage in administrative communication, thus enabling them to focus on substantive activities that are necessary to make timely eligibility decisions and develop high quality IPEs. The solution will also improve documentation of eligibility and IPE development extensions. Extensions are allowed under certain circumstances; however, it is often difficult to ascertain whether the extensions have been executed properly. The system will also allow increased quality assurance by enabling reports to be generated related to eligibility decisions, IPE development, and extensions.

- b. Relationship to Internal and Other Measures
 - i. Reduce the number of cases that are out of compliance with the 60 day eligibility requirement.
 - ii. Reduce the number of cases that are out of compliance with the 90 day IPE development requirement.
 - iii. Reduce the number of extensions that are improperly written, unnecessary, or not timely.
 - c. Measuring the Effectiveness of the Solution
 - i. Audit General reports will have fewer findings.
 - ii. Monitoring by RSA will include fewer findings.
 - iii. Internal compliance reporting will demonstrate improvements in compliance rates on a monthly basis.
3. The Division will meet the mandate to spend 15 percent of the federal grant on pre-employment transition services.
- a. Solution’s Impact – Improved communication with students with disabilities will lead to additional provision of pre-employment transition services. Provision of services and effective communication through modernized systems will ultimately lead to more students with disabilities becoming employed in meaningful careers over time.
 - b. Relationship to Internal and Other Measures
 - i. Increase the number of students receiving pre-employment transition services.
 - ii. Decrease the number of students who leave the VR system because of lost contact or lost interest.
 - iii. Increase the number of students who achieve measurable skill gains, credential attainment and gainful employment (federal performance indicators).
 - c. Measuring the Effectiveness of the Solution
 - i. Quarterly federal reports on service delivery, including reasons for case closure.
 - ii. Regular customer satisfaction reporting via a contract with an outside contractor with expertise in assessing satisfaction with VR services.
 - iii. Feedback from consumers within the system to guide development and improvements.
 - iv. Effectiveness in using the 15 percent set-aside for pre-employment transition services.
4. The Division will support a well-trained, efficient, stable field staff by reducing turnover rates of field staff positions.
- a. Solution’s Impact – The solution is intended provide VR staff with an efficient, user-friendly, responsive case management system that improves communication with customers. By using a customer portal to communicate administrative details about their cases, VR staff will be able to focus more on the substance of their responsibilities. Having contact with customers through modernized communication strategies will mitigate the frustration that comes

from “telephone tag.” A system that includes dynamic training and technical assistance will help VR staff hone and refresh their skills.

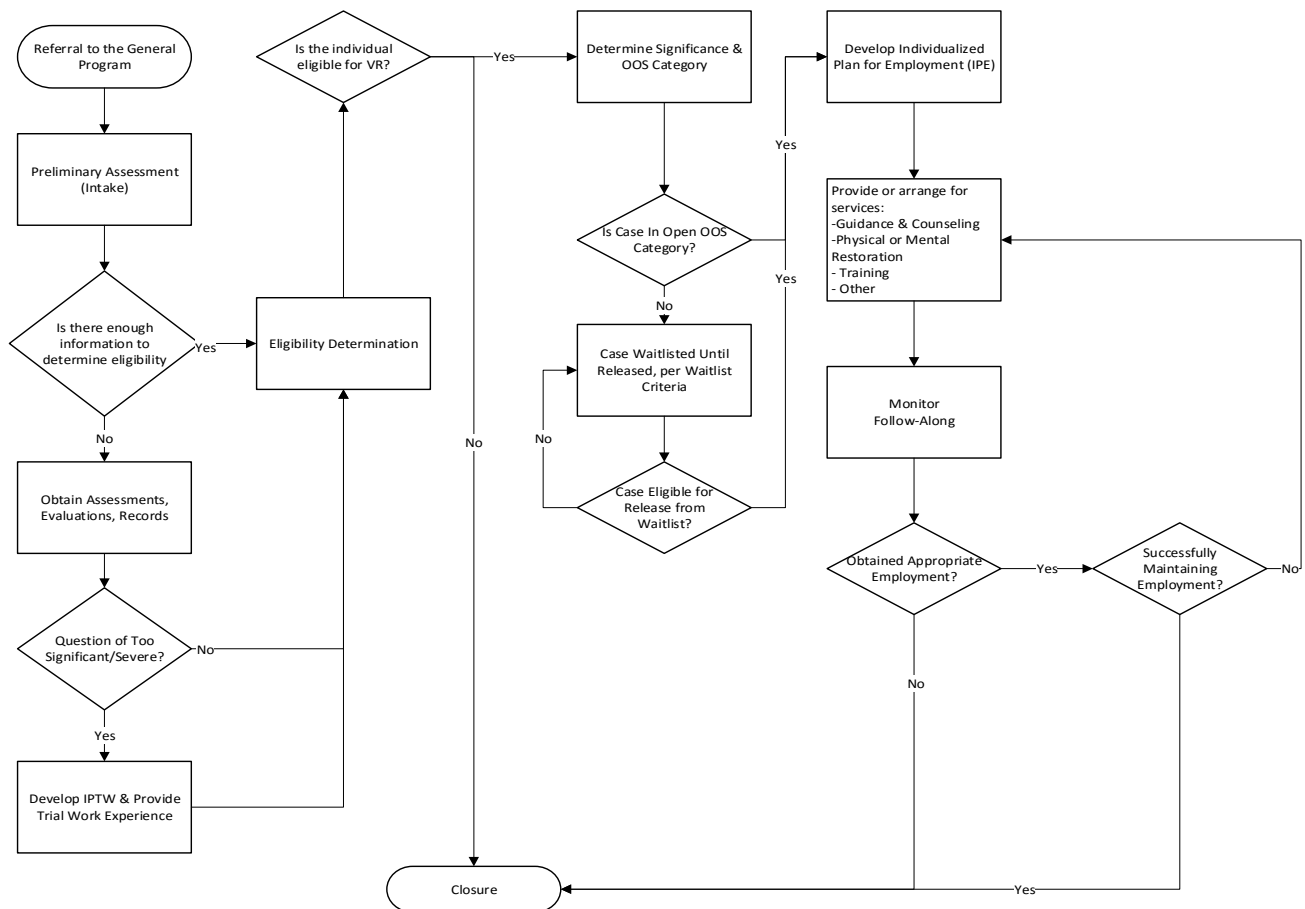
- b. Relationship to Internal and Other Measures
 - i. Decrease in staff vacancy rates.
 - ii. Decrease in costs related to vacancies.
 - iii. Increased staff satisfaction with work environment, training, and input into decisions impacting them.
- c. Measuring the Effectiveness of the Solution
 - i. Monthly internal turn-over reports.
 - ii. Reports of funds used on vacancy-related expenses.
 - iii. Improved responses on the Division’s internal climate survey.

B. Baseline Analysis

1. Current Business Process(es)

The delivery of vocational rehabilitation services is highly individualized. Once a person with a disability is determined eligible for services, the Division has authority to provide a wide range of services to assist the individual with finding and keeping a job.

Below is a flowchart that also describes the process.



2. Assumptions and Constraints

- The Division will select the best available COTS following an Invitation to Negotiate (ITN)
- The vendor selected to deliver a COTS will also be responsible for data migration, integration with existing systems relevant systems to the case management process, developing training materials and providing training to all appropriate VR staff.
- The Division will follow its ISDM and project management methodologies.
- Existing systems used by the Division will continue to be supported and maintained during the life of this project.
- The Division will continue to be required to adhere to WIOA. Any business process changes as a part of this project will certainly include changes predicated by WIOA.
- The Division will be able to identify a COTS that is able to adhere to the Americans with Disabilities Act (ADA) compliance standards.
- The Division will be able to identify a COTS that will support the Division's goal of providing an online customer portal to its customers that includes electronic documents and text communication.
- The new solution will be hosted in a secured location that meets state, federal, Rehabilitation Services Agency, and Social Security Administration requirements, and meets the Division's disaster recovery requirements.
- The system needs to be able to change as business processes and governing laws and regulations change.
- Delivery of a new case management system could be impacted if substantial new requirements or changes to existing requirements for the WIOA are released during the lifetime of this project.
- Delivery of a new case management system could be impacted if substantial changes to other VR systems occur. For example, if the process for interacting with FLAIR changes due to the current project(s) to update FLAIR, then resources within the Division will have to be diverted to address these changes.
- Specific data collected by a new case management system, or system integrated with the case management system, must be reportable and shareable to WIOA state and federal partners.
- Any 3rd party service or system purchased must be able to interface with systems outside of the scope of the project.

- As the Division continues to refine business processes and seek technological solutions in response to customer driven needs resources may be dedicated to other strategic initiatives.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

Given the additional performance metrics provided by WIOA, and the need for overall improvement in organizational performance, the Division has pinpointed several requirements that will assist in the enhanced delivery of their services. These include:

- Data security and segregation given the confidentiality of customer information
- Electronic document and signature retention for customer case files
- Assimilation of historical customer demographic data across all various case types
- Data exchange with WIOA partners for federal and state reporting
- Online portal for customer engagement, data sharing, appointment/activity scheduling, and communication.
- Web-based case management system based on business processes that enforce federal and state requirements to improve organizational adherence to federal and state productivity measures
- Automation of manual and paper processes
- Automation of routine communication and scheduling
- Document management
- Data validation and integration tools
- Disaster recovery/emergency situation support

2. Business Solution Alternatives

The Division has considered the following business solution alternatives:

- **Deploy a COTS Solution:**

The Division has the option to procure a COTS solution, with proven success in the VR industry. Many state Vocational Rehabilitation agencies deployed vendor COTS solutions with success and are able to routinely meet reporting requirements, which is a priority for Florida VR.

- **Maintain Current System:**

As currently constructed, the legacy thick client server system is performing as designed. The current system has been customized and patched as needed over the years, which has created embedded inefficiencies that are very difficult to maintain. Maintaining the current system, rather than replacing it with a newer custom solution or packaged COTS software, is the last

option to consider.

3. Rationale for Selection

The Division has identified a list of goals to provide a minimum set of capabilities which must be met by any potential solution. Establishing a minimum set of capabilities is critical in order to ensure all options are compared to a common standard. This common base will allow option costs, timelines, and capabilities to be compared in a consistent manner. The goals identified are:

- An intuitive and easy to use system
- A system that consolidates functions and processes facilitated by multiple existing applications
- A system driven by business processes
- A system that can provide flexibility to adapt to future process, legislative or organizational changes
- A system that is well-documented, preferably contextual
- A system providing federal VR reporting requirements
- A system that provides necessary security requirements
- A system that provides a complete audit trail
- A system that is accessible (ADA compliant).

4. Recommended Business Solution

The Division has determined procuring a **COTS solution** is the best option for replacing the aging VR case management system. Identifying a COTS solution that facilitates the VR case process and provides the ability to adapt to ever-changing federal reporting requirements will reduce the risk of the Division missing required reporting deadlines and allow the Division to focus on service delivery to Florida VR customers.

D. Functional and Technical Requirements

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

Include through file insertion or attachment the functional and technical requirements analyses documentation developed and completed by the agency.

At a minimum, the proposed solution must include the following required functionalities:

1. Case Management – including the collection of relevant customer demographic data, development of case service plans, monitoring of case progression through all status levels, and tracking all services provided to a customer from referral through case closure, including funds spent on each service, post-closure follow-up and post-employment. The solution must be capable of managing and tracking cases based on

- separate populations, such as students receiving Pre-Employment Transition Services (Pre-ETS). The solution must be capable of providing end user alerts/notifications, generate and store form letter templates, support case note templates with the ability to add attachments, and include grammar and spell check functionality.
2. Communication – including a calendaring function and the option for automated customer alerts and reminders.
 3. Budgeting – including the ability to easily and quickly track and manage budgets for customers at the counselor, unit, county, and Area level.
 4. Electronic Billing – including the ability to create authorizations/order services for customers, generate invoices, and interface with the state’s fiscal system.
 5. Vendor Management – including the ability to register vendors and maintain vendor demographic information, such as services provided, licenses obtained, and counties served.
 6. Reporting – including statistical and management reports that a user can generate on both a scheduled and ad hoc basis. The solution must be capable of collecting all data elements required for Federal and State reporting including, but not limited to, those required by WIOA.
 7. Document Retention – including the ability to accept and store scanned documents related to each case. Documents should be viewable and downloadable.
 8. Data Integration – including the ability to exchange information with existing data partners and other internal systems and reporting applications.
 9. Security – including the ability to meet data security requirements for the Social Security Administration (SSA), the RSA and the Florida Agency for State Technology (AST).
 10. Accessibility – Including the ability to meet ADA accessibility standards and compatible with JAWS screen reader software.

11. Staff and Office Management – Including the ability store position information, staff assignments and office information, such as location and contact information.

The initial technical requirements captured for this project are attached as Appendix C.

III. Success Criteria

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|---|--|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 1 | The solution will expand customer self-service capabilities. | <ul style="list-style-type: none"> • Customer support costs • Customer satisfaction • Time to correspond with customers | <ul style="list-style-type: none"> • VR Customers • State of Florida | Upon Implementation |
| 2 | The solution will leverage mobile solutions for both VR staff and customers | <ul style="list-style-type: none"> • Time to complete application for services • Time to determine eligibility • Time to complete required communication • Employee satisfaction • Customer satisfaction | <ul style="list-style-type: none"> • VR Customers • State of Florida | Upon Implementation |
| 3 | The solution will provide a consistent customer and VR staff experience. | <ul style="list-style-type: none"> • Training needs • VR staff satisfaction • Customer satisfaction | <ul style="list-style-type: none"> • VR Customers • Employers • VR Providers • State of Florida • | Upon Implementation |

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|--|---|---|---------------------|
| 4 | The solution will enhance the interactions between internal units and external partners | <ul style="list-style-type: none"> • Time to retrieve data from other units • Time to produce data for external partners. | <ul style="list-style-type: none"> • VR Customers • Employers • VR Providers • State of Florida | Upon Implementation |
| 5 | The solution will support enterprise and federal reporting needs. | <ul style="list-style-type: none"> • Time to produce required federal and state reports • Availability of reports to internal staff • Report accuracy | <ul style="list-style-type: none"> • VR Customers • Employers • VR Providers • State of Florida | Upon Implementation |
| 6 | The solution will allow for simplified infrastructure maintenance allowing for focused internal support. | <ul style="list-style-type: none"> • Infrastructure maintenance cost • Reduction in redundant systems • Increase in support for data security and availability | <ul style="list-style-type: none"> • VR Customers • State of Florida | Upon Implementation |
| 7 | The solution will have a data management strategy to reduce duplicative and incorrect data | <ul style="list-style-type: none"> • Number of case data correction requests. | <ul style="list-style-type: none"> • VR Customers • State of Florida | Upon Implementation |
| 8 | The solution will increase security, stability, and recoverability, with implementation of latest technology standards | <ul style="list-style-type: none"> • Number of data breaches • System outages • ADA Compliance | <ul style="list-style-type: none"> • VR Customers • State of Florida | Upon Implementation |
| 9 | The solution will compatible with accessibility tools | <ul style="list-style-type: none"> • Training needs • VR staff satisfaction | <ul style="list-style-type: none"> • VR Customers • State of Florida | Upon Implementation |

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|--|---|--|--|
| | | <ul style="list-style-type: none"> Customer satisfaction | | |

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 | Reduce Number of Closed Cases Due to Loss of Contact or Interest | VR Customers | A reduction in the number of closed cases with statuses representing closure due to loss of contact or interest | Percentage of cases closed in a status representing loss of contact or interest | TBD |
| 2 | Increase in Number of Cases whose Eligibility is Determined in 60 Days or Less | VR Customers | An increase in the number of cases with eligibility determinations made within 60 days | Percentages of cases with eligibility determinations made within 60 days | TBD |
| | Increase in Number of Cases whose Individual Plan for Employment are completed within 90 days of Eligibility Determination | VR Customers | Increase in number of cases whose Individual Plan for Employment are completed within 90 days of Eligibility Determination | Percentages of cases whose Individual Plan for Employment are completed within 90 days of Eligibility Determination | TBD |
| 3 | Increase in expenditures for Pre-Employment Transition Services | VR Customers | An increase in the percentage of Pre-Employment Transition Services cases as a part of the overall VR | An increase in the percentage of Pre-Employment Transition Services cases as a part of the overall VR caseload | TBD |

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|----------|--|---|-----|
| | | | caseload | | |
| 4 | User Interface Efficiencies | VR Staff | Reduced staff time spent on support activities associated with data entry and manipulation | Surveys to measure staff satisfaction before and after system release | TBD |
| 5 | Consistent, On-time Federal Report Delivery | VR Staff | Reduced staff time spent on support activities associated with data manipulation, correction and duplicate entry | A decrease in the percentage of staff time spent preparing data to meet standardized reporting requirements and deadlines | TBD |

B. Cost Benefit Analysis (CBA)

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

The chart below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

| Cost Benefit Analysis | |
|------------------------------------|--|
| Form | Description of Data Captured |
| CBA Form 1 - Net Tangible Benefits | <p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p> |
| CBA Form 2 - Project Cost Analysis | <p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p> |

| Cost Benefit Analysis | |
|---|---|
| Form | Description of Data Captured |
| CBA Form 3 - Project Investment Summary | Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return |

The Cost Benefit Analysis for this project has been included as Appendix A.

V. Schedule IV-B Major Project Risk Assessment

The Project Risk Assessment for this project has been included as Appendix B.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

a. Description of Current System

The current case management system used by the Division, named the Rehabilitation Information Management System (RIMS), is a thick client and server application which is used to maintain staff assignment information, position and office hierarchy, customer and case management information, vendor management information, contract and grant management information, task management information, enterprise security for applications, and reporting.

Further explanation of characteristics are below:

- Summary of User Base: RIMS is the primary resource for approximately 1,200 employees and contractors. The vast majority of these users are entering and retrieving data, and the remaining users are retrieving data or performing administrative duties.
- Summary of Transactions: RIMS relies on information received and/or exchanged with other departments and data sources. Below is a list of data exchanges that are maintained as a part of the RIMS lifecycle
 - Data exchanges between internal databases (import and export) occur every 30 minutes.
 - Data migration from the RIMS database to the Division's data warehouse occurs once a month.
 - Financial data exchanged (import and export) with the Florida Accounting Information Resource (FLAIR). This data exchange occurs daily.
 - Social Security Administration (SSA) benefit information exchanged (import and export) with the Florida Department of Children and Families. This data exchange occurs twice-daily.
 - License information received and imported from the Florida Department of Economic Opportunity. This information is updated monthly.
 - License information received and imported from the Florida Department of Education. This information is updated monthly.
 - License information received and imported monthly from the Florida Agency for Healthcare Administration. This information is updated monthly.
 - License information received and imported monthly from the Florida Department of Health. This information is updated monthly.
 - Postal address information is imported from the United States Postal Service. This information is updated monthly.
- Summary of Infrastructure: The RIMS client and local cache database is installed to all desktop computers within the Division's network. A website and web service is

deployed on a Microsoft Server-based server located in the North West Regional Datacenter (NWRDC). A service to monitor report requests is deployed on a Microsoft Server-based server located in the NWRDC. A SQL database, and many database procedures, are deployed on a clustered Microsoft Server-based server (three servers in cluster).

- Summary of Software: The RIMS environment is comprised of a mixture of software, protocols, programming languages, and databases, including:
 - VB.NET
 - VB6
 - ASP.NET
 - Active Reports
 - Windows Communication Foundation (WCF)
 - File Transfer Protocol (FTP)
 - Simple Mail Transfer Protocol (SMTP)
 - SQL Server Database
 - Microsoft Active Directory
 - Microsoft Excel
 - Adobe Acrobat

b. Current System Resource Requirements

The current system requires the Division to maintain multiple web servers, file servers, and database servers, located at the NWRDC. Also, since the application is a thick client, support is required at the end user/PC level. RIMS accounts for a large percentage of the Division's overall storage and transaction requirements.

Staff in the Division's Application Development unit are responsible for the maintenance and support of the system. Organizational and legislative changes (WIOA, etc.) have required extensive changes to the business processes, and in turn the case management system, in the last 5 years. Unfortunately, because of the lack of institutional knowledge and necessary skills, available staff to support RIMS has been reduced. This has required the Division to implement many "work-arounds" within the system. To implement desired upgrades would require extensive changes to the framework of the system.

c. Current System Performance

The design and framework of the application is complex, combining Windows application and web application development principles. RIMS was initially developed as a "one-size-fits-all" system, expecting to fulfill the needs of all bureaus in the Division. The current RIMS attempts to restrict its growth, and to limit supportability concerns, by enforcing the reuse of screens for many similar processes. Though in practice, it compromises a lot in supportability by requiring small changes to be accompanied by extensive regression testing to ensure other functions are not broken. Larger changes require extensive planning because of its "shared environment" framework. This has caused its primary use, customer and case management, to become

impacted by unrelated needs by other business units. For example, if the Contract Management unit requests a change to increase efficiency for inputting data on a screen, the request must be thoroughly reviewed by other business units, despite the fact that the Contract Management unit is the primary user of the particular screen. The screen could also be used by another business unit as a part of their process. This has greatly limited improvement initiatives that could be provided by technology and has encouraged business units to develop manual processes as way around the system.

2. Information Technology Standards

The Division's Application Development unit adheres to a project management methodology based on best practices defined by the Project Management Institute for all application development projects. The Division also maintains a set of standards for developing .NET applications, web applications, and data integrations.

B. Current Hardware and/or Software Inventory

Current Hardware:

RIMS is currently comprised of server-based and client-based hardware. RIMS web-based components are hosted on multiple Microsoft Server-based web (IIS) servers and multiple Microsoft Server-based servers hosting file shares accessed by the RIMS application and services to save and retrieve data. SQL Database and data components are hosted in a clustered Microsoft Server-based server environment. All server-based components are located in the NWRDC. RIMS thick clients and local cache databases are deployed to all PCs located in 97 offices statewide.

Current Software:

RIMS is primarily a custom built system, including: a VB.NET thick client; ASP.NET websites; WCF services; Excel, Word, and Adobe components; Active Report components; and many custom SQL jobs and routines. The system also generates CAB files, which are downloaded to all thick client locations to populate local cache databases.

C. Proposed Technical Solution

1. Technical Solution Alternatives

The Division is considering the following:

- a Hybrid solution with components hosted in the NWRDC and with components hosted by a cloud service provider

- migrating to NWRDC's Infrastructure as a Service solution to host all components of a new solution
- hosting all components of a solution with a cloud hosting provider.

2. **Rationale for Selection**

The following criteria will be used to determine the appropriate solution:

- Qualifications and Experience
- Technical Plan
- Management Plan
- Price
- Ability of the solution to support interfaces to existing systems
- Technical Requirements Compatibility
- Ability to meet data security privacy requirements

3. **Recommended Technical Solution**

The Division will not have a recommended solution until all vendor responses to the Division's ITN are received and negotiations have been completed.

D. Proposed Solution Description

1. **Summary Description of Proposed System**

The proposed system will provide a web-based solution for all internal users to access the case management user interface and database. The solution should support current functionality, any enhancements to current functionality requested, migrating legacy data, federal and state reports, tracking customers, cases, vendors, budgets, authorizations, staff and offices, counselor objectives, documents, form letters and any changes or additions due to legislative action.

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

The Division advertised a Request for Information (RFI) in March, 2018 to gather estimated costs for procuring a COTS solution. Based on the responses to the RFI, the Division estimates a need of approximately \$9 million for the project (FY2019-20 & FY2020-21).

The Division will be advertising an ITN with an intent to select a COTS solution. The following

deliverables are expected in the ITN.

- COTS Case Management Solution
- System Configuration
- Data Migration & Integration
- System Installation
- Training Session and Materials
- Ongoing Maintenance and Enhancements

E. Capacity Planning

Current Usage:

- Approximately 1500 Staff
- 97 offices statewide.
- Approximately 40,000 active cases.
- Approximately 310 Providers

VII. Schedule IV-B Project Management Planning

Project management and planning information has been included as Appendix D.

VIII. Appendices

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

Appendix C:

| Case Management Minimum Technical Requirements | |
|---|---|
| Technical Requirement Number | Technical Requirement Description |
| 1. | Must run on MS Windows Server 2012 or 2016 64-bit. |
| 2. | Must run on MS SQL Server 2014 |
| 3. | Must run on 32 bit and 64 bit workstations running Windows 10. |
| 4. | Must be MS Office 2016 compatible. |
| 5. | Must be able to integrate with Exchange 2010 and later and Outlook 2016. |
| 6. | Must be web based. |
| 7. | Need to utilize/integrate with Active Directory for security and user roles and use single sign on. |
| 8. | Accessibility: system must integrate with Jaws 12 and higher, Dragon Naturally speaking and Openbook and must comply with the Americans with Disabilities Act. Contractors should identify any products that may be used or adapted for use by visually, hearing, or other physically impaired individuals. |
| 9. | The System will support all required security certifications such as Secure-Socket Layer (SSL 128-bit) data exchange and data encryption; intrusion control and non-persistent data. Admission to sessions without authentication will be prohibited. |
| 10. | Must allow system updates to be scheduled by DOE/DVR IT staff and notes describing the changes being made by updates must accompany such updates. |
| 11. | Must allow DOE/VR IT staff to perform system maintenance activities for the infrastructure hosting system. |
| 12. | Must allow DOE/VR IT staff to perform data backup activities as defined by internal procedures. |
| 13. | Ability to track and provide detailed reports on all session and transaction data (log |

| | |
|-----|--|
| | files) to meet audit requirements defined by federal and state entities. |
| 14. | Must be able to exchange (receive and send) data and or/integrate with other internal VR systems and external non-VR systems for use and/or reporting from those systems. |
| 15. | Must be able to assign security based on role, with the ability to update role definitions to accommodate future requirements. For example, Update users cannot add, edit, or delete anything within the Administrative part of the system (Admin Properties). |
| 16. | Must be able to meet the data and access security requirements provided by VR, DOE the Social Security Administration, Rehabilitation Services Administration, and other federal and state partners |
| 17. | Must be have option to host system within VR's datacenter, in a cloud provider's datacenter OR a hybrid hosting solution |
| 18. | The system should include development, test, training, and production environments. Production should have a physically separate environment. |
| 19. | The system should support point-in-time recovery (e.g., database rollback/commits). |
| 20. | The system should support the current version of Chrome and Internet Explorer and above for any browser-based interface. |
| 21. | The system must provide the ability for the system administrator(s) to add, change and delete users to the system. |
| 22. | The system must provide the ability for system administrator(s) to deactivate users of the system. |
| 23. | The system should support the ability to capture daily, weekly and monthly snapshots of the entire database. (DOE/VR IT wants the ability to move data from the new system's transactional database to our existing datamart on a daily/nightly, weekly, monthly, ad-hoc basis. We would prefer this option be available via an Admin module.) |



**Appendix D:
VR Client Management System Project
Management Plan**

Project Management Plan

Contact Information

To request copies, suggest changes, or submit corrections, contact:

**Vocational Rehabilitation
4070 Esplanade Way
Tallahassee, FL 32399
Attention: Ernestine Lawson
Project Manager, IT Strategic Initiatives
Phone: 850-245-3291**

1. Purpose of Document

This Project Management Plan (PMP) provides guidelines for the VR Client Management System Project identifying the:

- Project Scope
- Budget Estimate and Schedule Estimate
- Assumptions and Constraints
- Project Team, Stakeholders and End Users
- Risk and Issue Management Plan
- Critical Success Factors
- Quality Assurance Plan
- Project Organization
- Communications Plan
- Change Management Plan and Process
- Resource Management
- Formalized Approval, Acceptance and Signature by Florida Department of Education, Vocational Rehabilitation

The Project Management Plan (PMP) is a “living” document that is prepared early in the Planning Phase of the project. The PMP identifies key elements of the project management strategy and the activities and deliverables of the project.

2. Project Scope

The scope of the VR Client Management System Project is to select the best available commercial VR case management product, configure the application, services, and workflows, migrate legacy data and integrate the new case management product with existing systems, train VR staff to use the new case management product and migrate staff to the new production Case management system.

2.1 Project Deliverables

| Project Deliverables | |
|--------------------------------------|---|
| Description of Deliverables | Evidence of Completion |
| COTS Case Management Solution | <ul style="list-style-type: none"> Software, services, databases and all other components required to operate COTS solution installed and accessible |
| System Configuration | <ul style="list-style-type: none"> Technical and functional requirements document signed and approved Project management plan and implementation timeline document signed and approved Workflows, screens (including data elements, field labels, titles, etc.), reports and other objects defined in the technical and functional requirements are created. Security roles and permissions defined and created |
| Data Migration & Integration | <ul style="list-style-type: none"> Document cross walking data from legacy database to database for COTS solution is signed and approved Legacy data imported to new COTS database. |
| System Installation | <ul style="list-style-type: none"> Requirements traceability document signed and approved Demo of COTS with configured workflows, security, documents/forms and legacy data available |
| Training Sessions & Materials | <ul style="list-style-type: none"> Training plan sign and approved Training session scheduled and completed Training attendance and survey forms signed and approved Training documentation delivered and approved |
| Ongoing Maintenance and Enhancements | |

2.2 Project Exclusions

Project exclusions specify what is explicitly excluded from the project.

2.3 Project Assumptions

Assumptions are factors that for planning purposes are considered to be true, real, or certain without proof of demonstration. The below have been identified as project assumptions based on the current scope of the Project.

- The Division will select the best available COTS following an Invitation to Negotiate (ITN)
- The vendor selected to deliver a COTS will also be responsible for data migration, integration with existing systems relevant systems to the cases management process, developing training materials and providing training to all appropriate VR staff.
- The Division will follow its ISDM and project management methodologies.
- Existing systems used by the Division will continue to be supported and maintained during the life of this project.
- The Division will continue to be required to adhere to WIOA. Any business process changes as a part of this project will certainly include changes predicated by WIOA.
- The Division will be able to identify a COTS that is able to adhere to the Adults with Disabilities Act (ADA) compliance standards.
- The Division will be able to identify a COTS that will support the Division's goal of providing an online customer portal to its customers that includes electronic documents and text communication.
- The new solution will be hosted in a secured location that meets state, federal, Rehabilitation Services Agency, and Social Security Administration requirements, and meets the Division's disaster recovery requirements.
- The system needs to be able to change as business processes and governing laws and regulations change.
- Delivery of a new case management system could be impacted if substantial new requirements or changes to existing requirements for the WIOA are released during the lifetime of this project.
- Delivery of a new case management system could be impacted if substantial changes to other VR systems occur. For example, if the process for interacting with FLAIR changes due to the current project(s) to update FLAIR, then resources within the Division will have to be diverted to address these changes.
- Specific data collected by a new case management system, or system integrated with the case management system, must be reportable and shareable to WIOA state and federal partners.
- Any 3rd party service or system purchased must be able to interface with systems outside of the scope of the project.

2.4 Project Constraints

Constraints are restrictions or limitations that the project manager must deal with pertaining to people, money, time, or equipment. It is the project manager's role to balance these constraints with available resources in order to ensure project success. The below constraints have been identified for the Project.

- Delivery of a new case management system could be impacted if substantial new requirements or changes to existing requirements for the WIOA are released during the lifetime of this project.
- Delivery of a new case management system could be impacted if substantial changes to other VR systems occur. For example, if the process for interacting with FLAIR changes due to the current project(s) to update FLAIR, then resources within the Division will have to be diverted to address these changes.
- Specific data collected by a new case management system, or system integrated with the case management system, must be reportable and shareable to WIOA state and federal partners.
- Any 3rd party service or system purchased must be able to interface with systems outside of the scope of the project.
- As the Division continues to refine business processes and seek technological solutions in response to customer driven needs resources may be dedicated to other strategic initiatives.

2.5 Scope Planning

The project will be carried out within four (4) major phases.

- **Phase I: Initiation**
- **Phase II: Planning**
- **Phase III: Execution**
- **Phase IV: Closing**

During the initiation and planning phase, the project manager will collaborate with the business owners to develop the project charter in agreement on the desired project scope and deliverables. As a result, the approved project charter will authorize the project manager to begin the project work required to deliver the desired scope and objectives.

The execution phase of this project will include the process to outline the project schedule to complete development and testing. Prior to sprint development, the team will draft all user stories that will represent the desired requirements to create the product backlog. To kick off each development iteration, the team will complete sprint planning to determine what features will be committed for the next development sprint.

2.6 Scope Control

Scope changes can be classified as internal and external. Internal scope changes are changes identified by the team during coding and development. External scope changes are changes that originate by the customer or external parties. The project manager will document all scope changes in a change request form for review and impact. The full impact analysis will be presented to the project change control board for approval or rejection of the change.

2.7 Scope Verification

At the completion of each sprint, the team will review the developed features to obtain feedback from the product owner(s) and reprioritize the product backlog as needed. In an effort to improve each sprint, the team will participate in the sprint retrospective review to determine improvement opportunities for the next development sprint. Each sprint will be completed iteratively until all requirement features are coded, tested, and confirmed to meet the desired scope and business objectives.

3. Schedule

The purpose of the Schedule Management Plan is to define the approach the project team will use in creating the project schedule. This plan will also include how the team will monitor the project schedule and manage changes after the baseline schedule has been approved. This includes identifying, analyzing, documenting, prioritizing, approving or rejecting, and publishing all schedule-related changes.

The Schedule Management Plan will be organized into the following sections:

- **Schedule Management Approach**
- **Work Breakdown Structure**
- **Schedule Control**
- **Schedule Changes**
- **Scope Changes**

Schedule Management Approach

This section will provide a general framework for the approach which will be taken to create the project schedule. This includes the scheduling tool/format, schedule milestones, and schedule development roles and responsibilities.

Schedule Tool/Format

Project schedules will be created using Microsoft Project.

Activity definition will identify the specific work packages which must be performed to complete each deliverable. Activity sequencing will be used to determine the order of work packages and assign relationships between project activities. Activity duration estimating will be used to calculate the number of work periods required to complete work packages.

Resource estimating will be used to assign resources to work packages in order to complete schedule development.

Schedule Milestones

Once a preliminary schedule has been developed, it will be reviewed by the project team and any resources tentatively assigned to project tasks. The project team and resources must agree to the proposed work package assignments, durations, and schedule. Once this is achieved the Project Sponsor will review and approve the schedule and it will then be baselined.

The following will be designated as milestones for the project schedule:

- Completion of scope statement, Work Breakdown Structure (WBS) and Resource Breakdown Structure (RBS).
- Baselined project schedule.
- Approval of final project budget.
- Project kick-off.
- Approval of roles and responsibilities.
- Requirements definition approval.
- Completion of data mapping/inventory.
- Project implementation.
- Acceptance of final deliverables.

Project Manager Roles and Responsibilities

The Project Manager will take responsibility for overall project management and will work with the Project Sponsor to coordinate activities such as:

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.

- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

- Serve as the primary point of contact for the Project Manager, confirm the project work plan and facilitate issue resolution.
- Provide kick-off meeting facility and identify and invite participants.
- Provide the team with working space facilities, including internet connectivity, access to required technology.
- Provide meeting rooms and equipment such as projectors as needed.
- Actively participate in all project working sessions and management meetings.
- Monitor and ensure resolution of all issues.
- Approve status reports and communications prior to distribution.
- Approve all deliverables.

Work Breakdown Structure

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* describes the Work Breakdown Structure (WBS) as "a deliverable-oriented hierarchical decomposition of the work to be executed by the team".

The WBS for the VR Client Management System Project will be organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and Closing.

Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners. The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

The project team is responsible for participating in weekly schedule updates/reviews; communicating any changes to actual start/finish dates to the Project Manager; and participating in schedule variance resolution activities as needed.

The Project Sponsor will maintain awareness of the project schedule status and

review/approve any schedule change requests submitted by the Project Manager.

Reporting

The progress of, and changes to the project schedule, will be reported in accordance with the project's Communications Plan.

Schedule Changes

If any member of the project team determines that a change to the schedule is necessary, the Project Manager and team will meet to review and evaluate the change. The Project Manager and project team must determine which tasks will be impacted, variance as a result of the potential change, and any alternatives or variance resolution activities they may employ to see how they would affect the scope, schedule, and resources.

If, after this evaluation is complete, the Project Manager determines that any change will exceed the established boundary conditions, then a schedule change request must be submitted.

Submittal of a schedule change request to the Project Sponsor for approval is required if either of the two following conditions is true:

- The proposed change is estimated to reduce the duration of an individual work package by 10% or more, or increase the duration of an individual work package by 10% or more.
- The change is estimated to reduce the duration of the overall baseline schedule by 10% or more, or increase the duration of the overall baseline schedule by 10% or more.
- Any change requests that do not meet these thresholds may be submitted to the project manager for approval.

4. Cost Spending Management

Project cost has been estimated in order to complete the desired scope of the project and is dependent on both the estimated length of tasks and the resources assigned to the project.

| Cost Benefit Analysis | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------------------|--|--|--|---------------------------------------|--|------------------------|--|---|--|------------------------|--|------------------------|--|----------------|--|----------------|--|----------------|--|----------------|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|---|--|
| A | B | | | C | | D | | E | | F | | G | | H | | I | | J | | K | | L | | M | | N | | O | | P | | Q | | R | | S | | T | |
| 1 Department of Education | VR Client Management System | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 IA. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4 | Item Description (remove guidelines and amount entries here) | | | Project Cost Element | | Appropriation Category | | Current & Previous Years Project Related Cost | | FY2019-20 | | FY2020-21 | | FY2021-22 | | FY2022-23 | | FY2023-24 | | TOTAL | | | | | | | | | | | | | | | | | | | |
| 5 | Costs for all state employees working on the project. | | | FTE | | S&B | | 12.00 \$ - \$ 477,728 | | 0.00 \$ - \$ 477,728 | | 0.00 \$ - \$ 477,728 | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 6 | Costs for all OPS employees working on the project. | | | OPS | | OPS | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 7 | Staffing costs for personnel using Time & Expense. | | | Staff Augmentation | | Contracted Services | | 14.00 \$ - \$ 2,059,472 | | 0.00 \$ - \$ 2,059,472 | | 0.00 \$ - \$ 2,059,472 | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 8 | Project management personnel and related deliverables. | | | Project Management | | Contracted Services | | 3.00 \$ - \$ 388,749 | | 0.00 \$ - \$ 388,749 | | 0.00 \$ - \$ 388,749 | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 9 | Project oversight to include independent Verification & Validation (IV&V) personnel and related deliverables. | | | Project Oversight | | Contracted Services | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 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 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 11 | Separate requirements analysis and feasibility study procurements. | | | Project Planning/Analysis | | Contracted Services | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 12 | Hardware purchases not included in data center services. | | | Hardware | | OCO | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 13 | Commercial software purchases and licensing costs. | | | Commercial Software | | OCO | | 7,000.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 14 | Professional services with fixed-price costs (i.e. software development, migration, project documentation). | | | Project Deliverables | | Contracted Services | | 2,000.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 15 | All first-time training costs associated with the project. Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form IA. | | | Training | | Contracted Services | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 16 | Other contracted services not included in other categories. | | | Data Center Services - One Time Costs | | Data Center Category | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 17 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail). | | | Other Services | | Contracted Services | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 18 | Include costs associated with leasing space for project personnel. | | | Equipment | | Expense | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 19 | Other project expenses not included in other categories. | | | Leased Space | | Expense | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 20 | Total | | | Other Expenses | | Expense | | 29.00 \$ 9,000,000 \$ 2,925,949 | | 0.00 \$ - \$ 2,925,949 | | 0.00 \$ - \$ 2,925,949 | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |
| 21 | | | | Total | | | | 29.00 \$ 9,000,000 \$ 2,925,949 | | 0.00 \$ - \$ 2,925,949 | | 0.00 \$ - \$ 2,925,949 | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | 0.00 \$ - \$ - | | | | | | | | | | | | | | | | | | | |

5. Project Team, Stakeholders and End Users

| Role | Responsibility | Name(s) |
|--------------------|--|---|
| Governance | Initial approval of the project request and escalation point during the project lifecycle | Allison Flanagan Julia Kates Melinda Jordan Don Alveshere Cathy McEachron Jason Roland |
| Project Sponsor(s) | Provides overall project direction, approves development and implementation of project deliverables It is the responsibility of the project sponsor to: 1. Empower the Project Manager (PM) to achieve project goals 2. Support the PM in obtaining resources and tools needed to conduct the project | Julia Kates Melinda Jordan Cathy McEachron |

| Role | Responsibility | Name(s) |
|------|--|---------|
| | <ol style="list-style-type: none"> 3. Require regular status briefings and reviews, and communicate pertinent information to stakeholders as necessary 4. Advise the PM on conditions likely to cause project risks and assist in risk resolution 5. Act as an advocate for the project, the PM and the project team 6. Provide the Product Owner a clear project vision | |

| Role | Responsibility | Name(s) |
|----------------------------------|---|---------|
| Product Owner (Business Lead) | The Product Owner is responsible for the following: <ol style="list-style-type: none"> 1. Act as the Point of Contact (POC) or liaison between the business and PM 2. Own, maintain and prioritize the product backlog on a regular basis according to the project schedule 3. Advocate for the business 4. Ensure all documentation and testing is reviewed and signed off by the appropriate Business SME and submitting it back to the PM according to the project schedule 5. Report any risks, issues or project delays to the PM via email as soon as possible 6. Approve end products 7. Analyze and review of business aspects of project 8. Responsible for providing all necessary end-user training and end-user documentation | TBD |

| | | |
|-------------------------------------|---|-------------------------|
| | <p>9. Understand the Project Sponsor’s project vision and ensure project direction is followed accordingly</p> | |
| <p>Project Manager/Scrum Master</p> | <p>Acts on behalf of Project Sponsor to manage the project in accordance with IT Strategic Initiative directives.</p> <p>Provide professional project management services following all VR Bureau of Technologies and System Development/IT Strategic Initiatives guidelines.</p> <p>It is the responsibility of the PM to:</p> <ol style="list-style-type: none"> 1. Prepare a Project Management Plan with achievable staff hours, schedule, and performance goals 2. Identify and manage project risks and issues 3. Ensure the project team is well-organized, adequately skilled, adequately staffed, and working towards project goals 4. Manage project staff hours, schedule, and scope 5. Prepare and maintain project artifacts that are necessary to run a project, including at a minimum; project schedule, weekly status reports, spending plan, risk log, issue log, change log and conducting regular status meetings 6. Ensure the adequacy of project documentation (requirements, test plans, project plans, etc.) through coordination of reviews, sign off/approval by project sponsor, product owner, SMEs, etc. 7. Maintain communications with project team members, | <p>Ernestine Lawson</p> |

| | | |
|---------------------------|---|-----------------|
| | <p>stakeholders and end users according to the Communication Plan</p> <p>8. Complete all required reporting for the project</p> | |
| Software Architect | Responsible for reviewing and approving all code and software technical solutions | Atul Kumar |
| Database Architect | Provide subject matter expert knowledge on the database design and perform integration | John Richardson |
| Quality Assurance Analyst | <p>Review all technical aspects and development of project deliverables</p> <p><i>Lead may delegate tasks to staff, however they are responsible for ensuring the quality and completion of the task</i></p> | Matt Sherrod |
| Developers | <p>Involved in all aspects of the software development process such as:</p> <ol style="list-style-type: none"> 1. Participation in software product definition (requirements analysis) 2. Development and refinement of prototypes to confirm requirements 3. Design, implementation, installation, configuration, etc. of the product 4. Documentation of the product as required by VR Applications Development 5. Complete unit, system performance and functional testing 6. Follow all VR Application Development Standards 7. Maintain release notes | TBD |
| Business Analyst | It is the responsibility of the | Tiffany Mobley |

| | | |
|--|---|--|
| | <p>Business Analyst is to:</p> <ol style="list-style-type: none"> 1. Facilitate the gathering of business requirements 2. Analyze, review and document the business requirements of the project into user stories. User stories will include acceptance criteria 3. Track and communicate the developers progress to the project manager 4. Review and provide guidance on test cases and test plans in accordance with the user stories 5. Review the results of failed test cases and determines whether the result is a coding error, incorrect requirement or missed requirement | <p>Suhail Gazi</p> |
| <p>Business Subject Matter Experts (SME)</p> | <p>Business end user that understands the business and will provide expertise to the project and conduct user acceptance testing</p> <p>Responsible for documenting business requirements, reviewing, and validating user stories</p> | <p>TBD</p> |
| <p>User Acceptance Testing (UAT)</p> | <p>Responsible for creating and documenting test plans, cases and results based on the acceptance criteria of each user story</p> | <p>TBD</p> |
| <p>Stakeholders</p> | <p>Individuals and organizations that are actively involved in the project, or whose interest may be affected as a result of project execution or project completion, and may also exert influence over the project’s objectives and outcomes</p> | <p>Customers, business users and/or partners</p> |

| | | |
|-----------|---|------------------------|
| End Users | Input, receive or request data from any application | Statewide Area Offices |
|-----------|---|------------------------|

6. Risk and Issue Management Plan

6.1 Risk Identification Process

Risks for the project may be identified by any stakeholder, end user, management personnel or external source. A newly identified risk must be documented in written format (via e-mail, memo, risk or issue spreadsheet, or meeting minutes) and provided to the project manager. The item will be added to the risk log by the project manager. All risks (new and existing) are reviewed at the status meeting for progress tracking.

6.2 Risk Evaluation and Prioritization

For high risks, mitigation plans will be developed to eliminate the impacts to the project. All high level risks will be documented and communicated to the Project Sponsor for review and evaluation. All risks will be listed in the weekly status report and the SharePoint Risk Register for general communication to the performing project organization and team members.

6.3 Risk Plan Maintenance

As risks are identified they are entered in the project tracking book and SharePoint Risk Register. The PM will maintain the content of the weekly status report and SharePoint Risk Register.

6.4 Issue Management and Resolution

A project issue is an event that has occurred and needs immediate resolution or it will have an impact on the project’s schedule, cost and/or scope.

6.5 Issue Identification

Issues for the project may be identified by any stakeholder, end user, management personnel or external source. A newly identified issue must be documented in written format (via e-mail, memo, risk or issue spreadsheet, or meeting minutes) and provided to the PM. The item will be added to the weekly status report and issues log by the PM. All issues (new and existing) are reviewed at the status meeting for progress tracking.

6.6 Issue Management and Resolution

All issues will follow an escalated path and have a plan for management and resolution which will be developed to eliminate the impacts to the project. All issues will be documented in the

weekly status report and SharePoint for communication to the Project Sponsor, PM and team members.

7. Quality Assurance Plan

7.1 Quality Assurance

All projects will meet quality objectives by using an integrated quality approach to define quality standards, measure quality and continuously improve quality.

The quality assurance and quality control approach involves including stakeholders and quality assurance team members in the early stage of the project. This will allow the team to focus on items related to quality in the initial stages so that specific quality activities and standards are incorporated earlier in the project. The quality assurance (QA) process will ensure that all software development activities are reviewed and meet the quality compliance standards.

7.2 Tracking and Auditing

As part of the regular execution of the project management methodology, periodic phase-end reviews will be conducted where all lessons learned and related information will be reviewed. Phase-end reviews also serve as Go / No Go checkpoints. Extant risks that might carry sufficient weight to delay or stop forward progress or that require immediate resolution will be reviewed at these points.

7.3 Design Reviews

Design reviews will be conducted at various points during the project lifecycle and will ensure that all features meet the design standards and defined acceptance criteria.

7.4 Code Reviews

The Software Architect will conduct code reviews at various points during the project lifecycle as deemed appropriate.

7.5 Test Management (Software Validation and Verification)

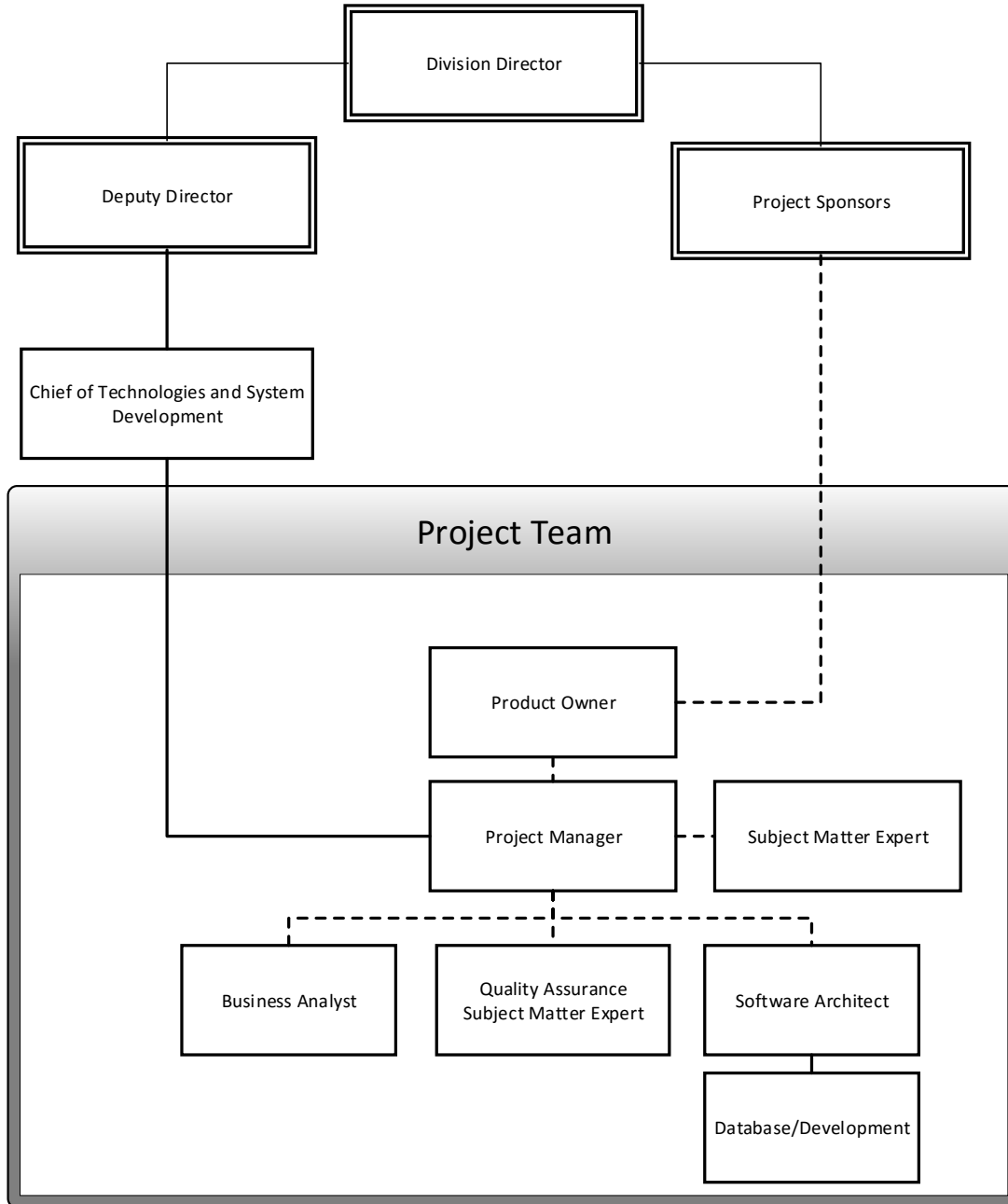
The Quality Assurance Compliance Reviewer will perform test management activities throughout the project life cycle as deemed appropriate. A “defined” group of subject matter experts (SME) will be used to validate that the features meet the functional and business requirements will perform user acceptance testing.

7.6 Defect Management

Defect management activities will be performed during the project lifecycle. Defects, also known as “bugs” will be tracked in the defect management tool. Each defect will be reported on a regular basis as agreed.

8. Project Organization

The following is the Project Organization:



9. Communications Plan

The Communications Plan determines the communication needs of the stakeholders. It documents what information will be distributed, how it will be distributed, to whom, and the

timing of distribution. It also documents how to collect, store, file and make corrections to previously published materials.

9.1 Project Documentation

- All project documentation shall be located in the Project Control Book (PCB) and in SharePoint under the appropriate project name.
- The Project Sponsor will review and approve all project deliverables, including project artifacts (e.g., PMP, Schedule, Budgets, etc.). Official sign-off and acceptance by the Project Sponsor will be expected by the Project Manager upon presentation and review of the final version of a major deliverable.
- At a minimum, the Product Owner will sign off on business-related project deliverables.
- At a minimum, the Technical Lead will sign off on technical-related project deliverables.
- Final, signed versions of the project documentation will be maintained in the PCB and under the appropriate project name in SharePoint

9.2 Slipping Tasks

- A slipping task is a Work Breakdown Structure (WBS) work item that is not going to be completed on or before the scheduled date. If a member of the project team anticipates that a project task may not be completed by the established deadline, the team member will notify the Project Manager (PM) immediately via e-mail. The email should include the cause for the delay and a new date by which the task will be completed. The PM will assess the project schedule for impact and either adjust the schedule or escalate the issue to the Product Owner or Technical Lead for further discussion. The slipping task and impact will also be reported at the Project Status Meeting.
- The PM will perform the following tasks to manage the project schedule:
- Review progress during the status meeting/daily stand up meetings. This will identify slippage early in the process and allow for response.
- Review progress, at the status meeting/daily stand up meetings, to verify that work is proceeding as previously scheduled. This will include walkthroughs of the products, artifacts, and deliverables.
- Based on the criticality of the tasks, the PM will:
- Establish response plans for the slipping tasks
- Determine the impact to schedule
- Inform the Project Team of the overall impact of the slippage, identify associated tasks that are also in jeopardy, and present a response strategy. The PM will schedule a meeting with the Project Sponsor if a task slippage impacts a deliverable or milestone. Options and impacts will be presented at the meeting.
- Document the slippage and response strategy in the next Project Status Report.

9.3 Work Assignments

- Task assignments are based on priorities established by the Project Owner.
- The Project Schedule will be resource leveled and all resources will be requested and approved via the normal Division resource request and assignment process
- Tasks will be completed according to the project schedule and within the established timeframes. In the event of a slipping task, the process described in the section above, will be followed.
- The PM will update the Project Schedule with task assignment status changes at a frequency of at least once a week. The updated Project Schedule will be made available to all team members.
- The PM will oversee the development of the project, and manage resources to ensure that project objectives are met within the established timeframes.

| Communications | | | | |
|--|-----------------|---------------------------------|---------------------------------------|-------|
| Description | Target Audience | Delivery Method | Delivery Frequency | Owner |
| Project Control Book (PCB) and SharePoint Site (includes risks, issues, action items, change control forms, etc) | Team, PM | Email links to all team members | Weekly | PM |
| Project Schedule | Team, PM | PCB, SharePoint | | PM |
| Project Management Plan document | Team | PCB, SharePoint | Due 30-45 days after project approval | PM |

| Meetings | | | | |
|---|-----------------|-----------------|--------------------------|--------------|
| Description | Target Audience | Delivery Method | Delivery Frequency | Owner |
| Team Meeting | Team | Meeting | Weekly | PM |
| Daily Standup | Team | Verbal | Daily | Scrum Master |
| Sprint Planning and Decomposition Meeting | Team | Meeting | Beginning of each sprint | Scrum Master |
| Sprint Retrospective Meeting | Team | Meeting | End of each sprint | Scrum Master |

9.4 Method for Updating the Communication Plan

The Communication Plan will be updated and distributed via email whenever there is a change

to the Plan.

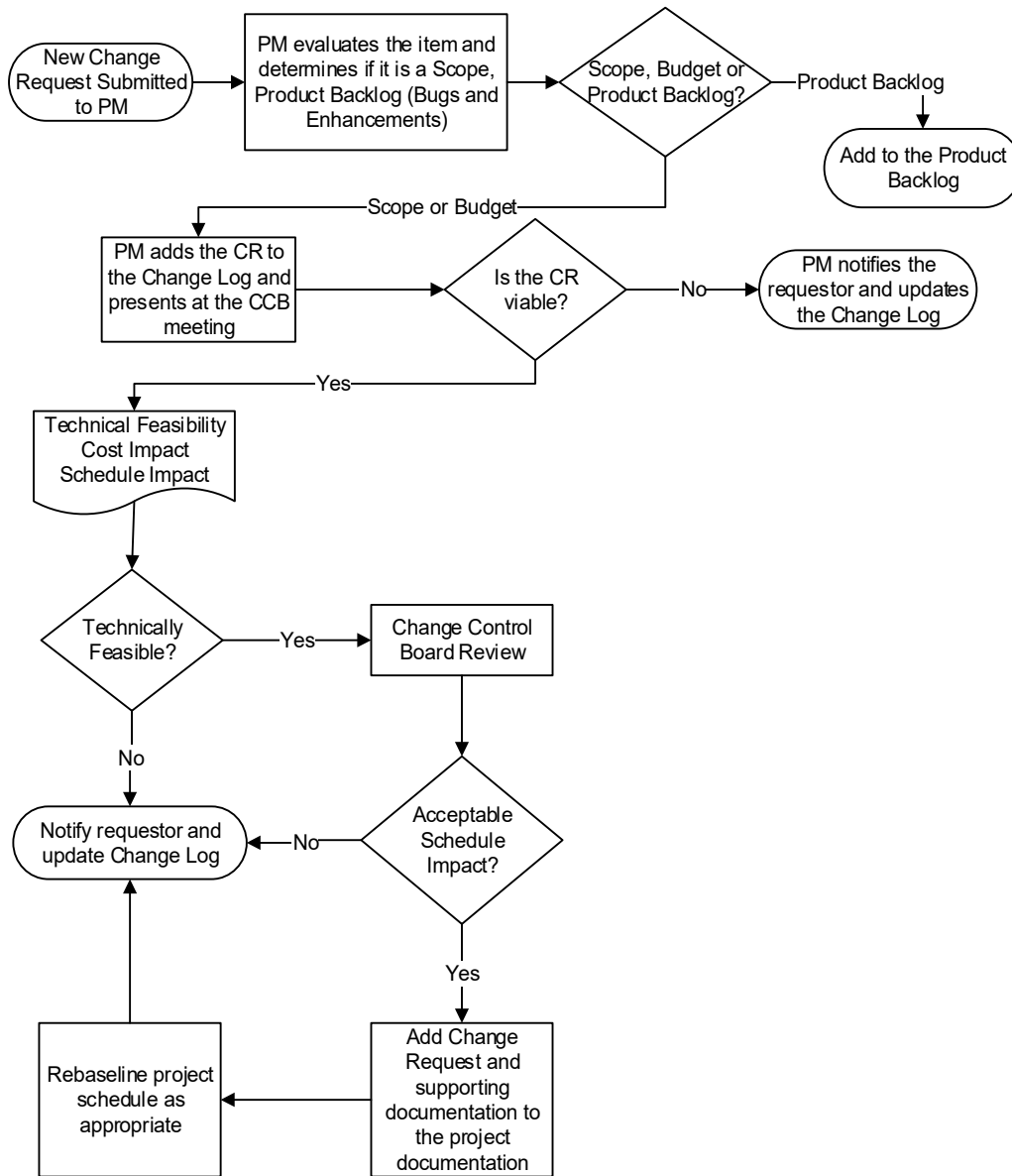
10. Change Management Plan

All project documentation will be subject to change control. Once a perceived need to make a change to the project is discovered, the change request must be submitted to the Project manager for analysis.

A detailed analysis must be completed in order to ensure that all impacts and changes to a solution are well documented and understood by all affected. This may include mock-ups and specifications to understand detail requirements.

To accomplish this, a clearly defined methodology for change needs to be used in order to ensure that complete consensus exists on the part of the project team. Changes in scope that exceed resource commitments to tasks beyond one (1) work day is subject to the change control board (CCB). The CCB will need to be advised of all impacts and what is to be expected when the change is implemented.

Project Change Request Process



11. Resource Management

Resources will be assigned and approved following the existing Bureau of Technologies and System Development Resource Management processes.

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|-------------------------|---------|-----------------------------|
| Agency | Department of Education | Project | VR Client Management System |
|--------|-------------------------|---------|-----------------------------|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | 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 | \$53,539,452 | \$0 | \$53,539,452 | \$53,539,452 | \$0 | \$53,539,452 | \$53,539,452 | \$0 | \$53,539,452 | \$53,539,452 | \$0 | \$53,539,452 | \$53,539,452 | \$0 | \$53,539,452 |
| A.b Total Staff | 954.00 | 0.00 | 954.00 | 954.00 | 0.00 | 954.00 | 954.00 | 0.00 | 954.00 | 954.00 | 0.00 | 954.00 | 954.00 | 0.00 | 954.00 |
| A-1.a. State FTEs (Salaries & Benefits) | \$49,465,749 | \$0 | \$49,465,749 | \$49,465,749 | \$0 | \$49,465,749 | \$49,465,749 | \$0 | \$49,465,749 | \$49,465,749 | \$0 | \$49,465,749 | \$49,465,749 | \$0 | \$49,465,749 |
| A-1.b. State FTEs (#) | 884.00 | 0.00 | 884.00 | 884.00 | 0.00 | 884.00 | 884.00 | 0.00 | 884.00 | 884.00 | 0.00 | 884.00 | 884.00 | 0.00 | 884.00 |
| A-2.a. OPS Staff (Salaries) | \$1,481,007 | \$0 | \$1,481,007 | \$1,481,007 | \$0 | \$1,481,007 | \$1,481,007 | \$0 | \$1,481,007 | \$1,481,007 | \$0 | \$1,481,007 | \$1,481,007 | \$0 | \$1,481,007 |
| A-2.b. OPS (#) | 53.00 | 0.00 | 53.00 | 53.00 | 0.00 | 53.00 | 53.00 | 0.00 | 53.00 | 53.00 | 0.00 | 53.00 | 53.00 | 0.00 | 53.00 |
| A-3.a. Staff Augmentation (Contract Cost) | \$1,922,618 | \$0 | \$1,922,618 | \$1,922,618 | \$0 | \$1,922,618 | \$1,922,618 | \$0 | \$1,922,618 | \$1,922,618 | \$0 | \$1,922,618 | \$1,922,618 | \$0 | \$1,922,618 |
| A-3.b. Staff Augmentation (# of Contractors) | 17.00 | 0.00 | 17.00 | 17.00 | 0.00 | 17.00 | 17.00 | 0.00 | 17.00 | 17.00 | 0.00 | 17.00 | 17.00 | 0.00 | 17.00 |
| B. Application Maintenance Costs | \$901,663 | \$0 | \$901,663 | \$901,663 | \$0 | \$901,663 | \$901,663 | \$0 | \$901,663 | \$901,663 | \$0 | \$901,663 | \$901,663 | \$0 | \$901,663 |
| B-1. Managed Services (Staffing) | \$670,078 | \$0 | \$670,078 | \$670,078 | \$0 | \$670,078 | \$670,078 | \$0 | \$670,078 | \$670,078 | \$0 | \$670,078 | \$670,078 | \$0 | \$670,078 |
| 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 DOE ED TEC | \$231,585 | \$0 | \$231,585 | \$231,585 | \$0 | \$231,585 | \$231,585 | \$0 | \$231,585 | \$231,585 | \$0 | \$231,585 | \$231,585 | \$0 | \$231,585 |
| C. Data Center Provider Costs | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 |
| C-1. Managed Services (Staffing) | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 | \$278,290 | \$0 | \$278,290 |
| C-2. Infrastructure | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-3. Network / Hosting Services | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-4. Disaster Recovery | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| C-5. Other Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| D. Plant & Facility Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E. Other Costs | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-2. Travel | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-3. Other | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Total of Recurring Operational Costs | \$54,719,405 | \$0 | \$54,719,405 | \$54,719,405 | \$0 | \$54,719,405 | \$54,719,405 | \$0 | \$54,719,405 | \$54,719,405 | \$0 | \$54,719,405 | \$54,719,405 | \$0 | \$54,719,405 |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-1. Specify | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-2. Specify | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. Specify | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B | | |
|--|---------------------|---------------|
| Choose Type | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous <input type="checkbox"/> | Confidence Level | |
| Order of Magnitude <input type="checkbox"/> | Confidence Level | |
| 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 | Department of Education | | VR Client Management System | | CBA Form 2A Baseline Project Budget | | | | | | | | | | | | | | | | |
| Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. | | | | | FY2019-20 | | | FY2020-21 | | | FY2021-22 | | | FY2022-23 | | | FY2023-24 | | | TOTAL | |
| 2 | | | | | \$ 11,925,949 | | | \$ 2,925,949 | | | \$ - | | | \$ - | | | \$ - | | | \$ 14,851,898 | |
| 3 | | | | | \$ - | | | \$ - | | | \$ - | | | \$ - | | | \$ - | | | \$ - | |
| 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 | | 12.00 | \$ - | \$ 477,728 | 0.00 | \$ - | \$ 477,728 | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 955,456 |
| 6 | Costs for all OPS employees working on the project. | OPS | OPS | | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - |
| 7 | Staffing costs for personnel using Time & Expense. | Staff Augmentation | Contracted Services | | 14.00 | \$ - | \$ 2,059,472 | 0.00 | \$ - | \$ 2,059,472 | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 4,118,944 |
| 8 | Project management personnel and related deliverables. | Project Management | Contracted Services | | 3.00 | \$ - | \$ 388,749 | 0.00 | \$ - | \$ 388,749 | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 777,498 |
| 9 | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | 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 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - |
| 11 | Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 12 | Hardware purchases not included in data center services. | Hardware | OCO | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 13 | Commercial software purchases and licensing costs. | Commercial Software | OCO | \$ - | \$ 7,000,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 7,000,000 |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | \$ 2,000,000 | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ 2,000,000 |
| 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 costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 17 | Other contracted services not included in other categories. | Other Services | Contracted Services | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 18 | Include costs for non-state data center equipment required by the project and the proposed solution (insert additional rows as needed for detail) | Equipment | Expense | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 19 | Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 20 | Other project expenses not included in other categories. | Other Expenses | Expense | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 21 | Total | | | | \$ - | 29.00 | \$ 9,000,000 | \$ 2,925,949 | 0.00 | \$ - | \$ 2,925,949 | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ 14,851,898 |

CBAForm 2 - Project Cost Analysis

| | | | | |
|--------|--------------------------------|---------|--|------------------------------------|
| Agency | <u>Department of Education</u> | Project | | <u>VR Client Management System</u> |
|--------|--------------------------------|---------|--|------------------------------------|

| <i>PROJECT COST SUMMARY</i> | <i>PROJECT COST SUMMARY (from CBAForm 2A)</i> | | | | | TOTAL |
|---|---|---------------|---------------|---------------|---------------|--------------|
| | FY 2019-20 | FY 2020-21 | FY 2021-22 | FY 2022-23 | FY 2023-24 | |
| TOTAL PROJECT COSTS (*) | \$11,925,949 | \$2,925,949 | \$0 | \$0 | \$0 | \$14,851,898 |
| CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small> | \$11,925,949 | \$14,851,898 | \$14,851,898 | \$14,851,898 | \$14,851,898 | |
| Total Costs are carried forward to CBAForm3 Project Investment Summary worksheet. | | | | | | |

| <i>PROJECT FUNDING SOURCES</i> | <i>PROJECT FUNDING SOURCES - CBAForm 2B</i> | | | | | 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 type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| CUMULATIVE INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

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

CBAForm 3 - Project Investment Summary

| | | | |
|--------|--------------------------------|---------|---------------------------------|
| Agency | <u>Department of Education</u> | Project | <u>Client Management System</u> |
|--------|--------------------------------|---------|---------------------------------|

| <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 | \$11,925,949 | \$2,925,949 | \$0 | \$0 | \$0 | \$14,851,898 |
| Net Tangible Benefits | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Return on Investment | (\$11,925,949) | (\$2,925,949) | \$0 | \$0 | \$0 | (\$14,851,898) |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| <i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i> | | |
|--|----------------|---|
| Payback Period (years) | NO PAYBACK | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | NO PAYBACK | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | (\$14,507,463) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | NO IRR | IRR is the project's rate of return. |

| <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% |

| | B | C | D | E | F | G | H |
|----|--|------------------------------|------------------------------------|------------------------------------|---|-------------------|----------------------|
| 3 | Project | | <i>VR Client Management System</i> | | | | |
| 4 | | | | | | | |
| 5 | Agency | | <i>Department of Education</i> | | | | |
| 6 | FY 2019-20 LBR Issue Code: | | | FY 2019-20 LBR Issue Title: | | | |
| 7 | <i>Issue Code</i> | | | <i>VR Client Management System</i> | | | |
| 8 | Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | | | | | |
| 9 | <i>Jason Roland ----- 850-245-3411 ----- jason.roland@vr.fldoe.org</i> | | | | | | |
| 10 | Executive Sponsor | | <i>Allison Flanagan</i> | | | | |
| 11 | Project Manager | | <i>Jason Roland</i> | | | | |
| 12 | Prepared By | | <i>Jason Roland</i> | | | <i>10/17/2018</i> | |
| 14 | Risk Assessment Summary | | | | | | |
| 15 | | | | | | | |
| 16 | Business Strategy | Level of Project Risk | | | | | |
| 17 | | | | | | | |
| 18 | | | | | | | |
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| 31 | | | | | | | |
| 32 | | | | | | | |
| 34 | Project Risk Area Breakdown | | | | | | |
| 35 | Risk Assessment Areas | | | | | | <i>Risk Exposure</i> |
| 36 | Strategic Assessment | | | | | | MEDIUM |
| 37 | | | | | | | |
| 38 | Technology Exposure Assessment | | | | | | MEDIUM |
| 39 | | | | | | | |
| 40 | Organizational Change Management Assessment | | | | | | MEDIUM |
| 41 | | | | | | | |
| 42 | Communication Assessment | | | | | | MEDIUM |
| 43 | | | | | | | |
| 44 | Fiscal Assessment | | | | | | MEDIUM |
| 45 | | | | | | | |
| 46 | Project Organization Assessment | | | | | | MEDIUM |
| 47 | | | | | | | |
| 48 | Project Management Assessment | | | | | | MEDIUM |
| 49 | | | | | | | |
| 50 | Project Complexity Assessment | | | | | | MEDIUM |
| 51 | | | | | | | |
| 52 | | | | | | | |
| 53 | Overall Project Risk | | | | | | MEDIUM |

| | B | C | D | E |
|----|---------------------------------|---|--|--|
| 1 | Agency: Department of Education | | Project: VR Client Management System | |
| 3 | Section 1 -- Strategic Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 1.01 | Are project objectives clearly aligned with the agency's legal mission? | 0% to 40% -- Few or no objectives aligned | 81% to 100% -- All or nearly all objectives aligned |
| 6 | | | 41% to 80% -- Some objectives aligned | |
| 7 | | | 81% to 100% -- All or nearly all objectives aligned | |
| 8 | 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | Documented with sign-off by stakeholders |
| 9 | | | Informal agreement by stakeholders | |
| 10 | | | Documented with sign-off by stakeholders | |
| 11 | 1.03 | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |
| 12 | | | Most regularly attend executive steering committee meetings | |
| 13 | | | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings | |
| 14 | 1.04 | Has the agency documented its vision for how changes to the proposed technology will improve its business processes? | Vision is not documented | Vision is completely documented |
| 15 | | | Vision is partially documented | |
| 16 | | | Vision is completely documented | |
| 17 | 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 81% to 100% -- All or nearly all defined and documented |
| 18 | | | 41% to 80% -- Some defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all defined and documented | |
| 20 | 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | Legislation or proposed rule change is drafted |
| 21 | | | Changes unknown | |
| 22 | | | Changes are identified in concept only | |
| 23 | | | Changes are identified and documented | |
| 24 | | | Legislation or proposed rule change is drafted | |
| 25 | 1.07 | Are any project phase or milestone completion dates fixed by outside factors, e.g., state or federal law or funding restrictions? | Few or none | Some |
| 26 | | | Some | |
| 27 | | | All or nearly all | |
| 28 | 1.08 | What is the external (e.g. public) visibility of the proposed system or project? | Minimal or no external use or visibility | Extensive external use or visibility |
| 29 | | | Moderate external use or visibility | |
| 30 | | | Extensive external use or visibility | |
| 31 | 1.09 | What is the internal (e.g. state agency) visibility of the proposed system or project? | Multiple agency or state enterprise visibility | Single agency-wide use or visibility |
| 32 | | | Single agency-wide use or visibility | |
| 33 | | | Use or visibility at division and/or bureau level only | |
| 34 | 1.10 | Is this a multi-year project? | Greater than 5 years | Between 1 and 3 years |
| 35 | | | Between 3 and 5 years | |
| 36 | | | Between 1 and 3 years | |
| 37 | | | 1 year or less | |

| | B | C | D | E |
|----|---------------------------------|--|--|--|
| 1 | Agency: Department of Education | | Project: VR Client Management System | |
| 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 | Read about only or attended conference and/or vendor presentation |
| 6 | | | Supported prototype or production system less than 6 months | |
| 7 | | | Supported production system 6 months to 12 months | |
| 8 | | | Supported production system 1 year to 3 years | |
| 9 | | | Installed and supported production system more than 3 years | |
| 10 | 2.02 | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations | External technical resources will be needed through implementation only |
| 11 | | | External technical resources will be needed through implementation only | |
| 12 | | | Internal resources have sufficient knowledge for implementation and operations | |
| 13 | 2.03 | Have all relevant technical alternatives/ solution options been researched, documented and considered? | No technology alternatives researched | All or nearly all alternatives documented and considered |
| 14 | | | Some alternatives documented and considered | |
| 15 | | | All or nearly all alternatives documented and considered | |
| 16 | 2.04 | Does the proposed technical solution comply with all relevant agency, statewide, or industry technology standards? | No relevant standards have been identified or incorporated into proposed technology | 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 | Moderate infrastructure change required |
| 20 | | | Moderate infrastructure change required | |
| 21 | | | Extensive infrastructure change required | |
| 22 | | | Complete infrastructure replacement | |
| 23 | 2.06 | Are detailed hardware and software capacity requirements defined and documented? | Capacity requirements are not understood or defined | Capacity requirements are based on historical data and new system design specifications and performance requirements |
| 24 | | | Capacity requirements are defined only at a conceptual level | |
| 25 | | | Capacity requirements are based on historical data and new system design specifications and performance requirements | |

| | B | C | D | E |
|----|--|--|--|---|
| 1 | Agency: Department of Education | | Project: VR Client Management System | |
| 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 | 41% to 80% -- Some process changes defined and documented |
| 11 | | | 41% to 80% -- Some process changes defined and documented | |
| 12 | | | 81% to 100% -- All or nearly all processes defined and documented | |
| 13 | 3.04 | Has an Organizational Change Management Plan been approved for this project? | Yes | Yes |
| 14 | | | No | |
| 15 | 3.05 | Will the agency's anticipated FTE count change as a result of implementing the project? | Over 10% FTE count change | Less than 1% FTE count change |
| 16 | | | 1% to 10% FTE count change | |
| 17 | | | Less than 1% FTE count change | |
| 18 | 3.06 | Will the number of contractors change as a result of implementing the project? | Over 10% contractor count change | Over 10% contractor count change |
| 19 | | | 1 to 10% contractor count change | |
| 20 | | | Less than 1% contractor count change | |
| 21 | 3.07 | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented? | Extensive change or new way of providing/receiving services or information) | Moderate 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 similar 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 | Routine feedback in Plan |
| 8 | | | Routine feedback in Plan | |
| 9 | | | Proactive use of feedback in Plan | |
| 10 | 4.03 | Have all required communication channels been identified and documented in the Communication Plan? | Yes | Yes |
| 11 | | | No | |
| 12 | 4.04 | Are all affected stakeholders included in the Communication Plan? | Yes | Yes |
| 13 | | | No | |
| 14 | 4.05 | Have all key messages been developed and documented in the Communication Plan? | Plan does not include key messages | Some key messages have been developed |
| 15 | | | Some key messages have been developed | |
| 16 | | | All or nearly all messages are documented | |
| 17 | 4.06 | Have desired message outcomes and success measures been identified in the Communication Plan? | Plan does not include desired messages outcomes and success measures | Success measures have been developed for some messages |
| 18 | | | Success measures have been developed for some messages | |
| 19 | | | All or nearly all messages have success measures | |
| 20 | 4.07 | Does the project Communication Plan identify and assign needed staff and resources? | Yes | Yes |
| 21 | | | No | |

| | B | C | D | E |
|----|---------------------------------|--|---|---|
| 1 | Agency: Department of Education | | Project: VR Client Management System | |
| 3 | Section 5 -- Fiscal Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes | Yes |
| 6 | | | No | |
| 7 | 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% -- None or few defined and documented | 41% to 80% -- Some 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%) | Order of magnitude – estimate could vary between 10-100% |
| 18 | | | Order of magnitude – estimate could vary between 10-100% | |
| 19 | | | Placeholder – actual cost may exceed estimate by more than 100% | |
| 20 | 5.06 | Are funds available within existing agency resources to complete this project? | Yes | No |
| 21 | | | No | |
| 22 | 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency | Funding from 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 | Not applicable |
| 26 | | | Requested but not received | |
| 27 | | | Requested and received | |
| 28 | | | Not applicable | |
| 29 | 5.09 | Have all tangible and intangible benefits been identified and validated as reliable and achievable? | Project benefits have not been identified or validated | Some project benefits have been identified but not validated |
| 30 | | | Some project benefits have been identified but not validated | |
| 31 | | | Most project benefits have been identified but not validated | |
| 32 | | | All or nearly all project benefits have been identified and validated | |
| 33 | 5.10 | What is the benefit payback period that is defined and documented? | Within 1 year | No payback |
| 34 | | | Within 3 years | |
| 35 | | | Within 5 years | |
| 36 | | | More than 5 years | |
| 37 | | | No payback | |
| 38 | 5.11 | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders? | Procurement strategy has not been identified and documented | Stakeholders have reviewed and approved the proposed procurement strategy |
| 39 | | | Stakeholders have not been consulted re: procurement strategy | |
| 40 | | | Stakeholders have reviewed and approved the proposed procurement strategy | |
| 41 | 5.12 | What is the planned approach for acquiring necessary products and solution services to successfully complete the project? | Time and Expense (T&E) | Combination FFP and T&E |
| 42 | | | Firm Fixed Price (FFP) | |
| 43 | | | Combination FFP and T&E | |
| 44 | 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Just-in-time purchasing of 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 is the procurement manager |
| 48 | | | Contract manager is the procurement manager | |
| 49 | | | Contract manager is the project manager | |
| 50 | | | Contract manager assigned is not the procurement manager or the project manager | |
| 51 | 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes | 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 and proof of concept or prototype planned/used to select best qualified vendor |
| 57 | | | Multi-stage evaluation not planned/used for procurement | |
| 58 | | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 59 | 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | Not applicable |
| 60 | | | No, bid response did/will not require proof of concept or prototype | |
| 61 | | | Yes, bid response did/will include proof of concept or prototype | |
| 62 | | | Not applicable | |
| 63 | | | | |
| 64 | | | | |
| 65 | | | | |
| 66 | | | | |

| | B | C | D | E |
|----|--|--|--|--|
| 1 | Agency: Department of Education | | Project: VR Client Management System | |
| 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 | 2 |
| 14 | | | 2 | |
| 15 | | | 1 | |
| 16 | 6.05 | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified | Some or most staff roles and responsibilities and needed skills have been identified |
| 17 | | | Some or most staff roles and responsibilities and needed skills have been identified | |
| 18 | | | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented | |
| 19 | 6.06 | Is an experienced project manager dedicated fulltime to the project? | No experienced project manager assigned | Yes, experienced project manager dedicated full-time, 100% to project |
| 20 | | | No, project manager is assigned 50% or less to project | |
| 21 | | | No, project manager assigned more than half-time, but less than full-time to project | |
| 22 | | | Yes, experienced project manager dedicated full-time, 100% to project | |
| 23 | 6.07 | Are qualified project management team members dedicated full-time to the project | None | No, business, functional or technical experts dedicated more than half-time but less than full-time to project |
| 24 | | | No, business, functional or technical experts dedicated 50% or less to project | |
| 25 | | | No, business, functional or technical experts dedicated more than half-time but less than full-time to project | |
| 26 | | | Yes, business, functional or technical experts dedicated full-time, 100% to project | |
| 27 | 6.08 | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources? | Few or no staff from in-house resources | 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: Department of Education | | Project: VR Client Management System | |
| 3 | Section 7 -- Project Management Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 7.01 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project? | No | Yes |
| 6 | | | Project Management team will use the methodology selected by the systems integrator | |
| 7 | | | Yes | |
| 8 | 7.02 | For how many projects has the agency successfully used the selected project management methodology? | None | More than 3 |
| 9 | | | 1-3 | |
| 10 | | | More than 3 | |
| 11 | 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | All or nearly all |
| 12 | | | Some | |
| 13 | | | All or nearly all | |
| 14 | 7.04 | Have all requirements specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 15 | | | 41 to 80% -- Some have been defined and documented | |
| 16 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 17 | 7.05 | Have all design specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 18 | | | 41 to 80% -- Some have been defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 20 | 7.06 | Are all requirements and design specifications traceable to specific business rules? | 0% to 40% -- None or few are traceable | 41 to 80% -- Some are traceable |
| 21 | | | 41 to 80% -- Some are traceable | |
| 22 | | | 81% to 100% -- All or nearly all requirements and specifications are traceable | |
| 23 | 7.07 | Have all project deliverables/services and acceptance criteria been clearly defined and documented? | None or few have been defined and documented | Some deliverables and acceptance criteria have been defined and documented |
| 24 | | | Some deliverables and acceptance criteria have been defined and documented | |
| 25 | | | All or nearly all deliverables and acceptance criteria have been defined and documented | |
| 26 | 7.08 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 | | | Only project manager signs-off | |
| 28 | | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 29 | 7.09 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities? | 0% to 40% -- None or few have been defined to the work package level | 41 to 80% -- Some have been defined to the work package level |
| 30 | | | 41 to 80% -- Some have been defined to the work package level | |
| 31 | | | 81% to 100% -- All or nearly all have been defined to the work package level | |
| 32 | 7.10 | Has a documented project schedule been approved for the entire project lifecycle? | Yes | No |
| 33 | | | No | |
| 34 | 7.11 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources? | Yes | No |
| 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 | |

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| 1 | Agency: Department of Education | | Project: VR Client Management System | |
| 2 | | | | |
| 3 | Section 8 -- Project Complexity Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 8.01 | How complex is the proposed solution compared to the current agency systems? | Unknown at this time | More complex |
| 6 | | | More complex | |
| 7 | | | Similar complexity | |
| 8 | | | Less complex | |
| 9 | 8.02 | Are the business users or end users dispersed across multiple cities, counties, districts, or regions? | Single location | More than 3 sites |
| 10 | | | 3 sites or fewer | |
| 11 | | | More than 3 sites | |
| 12 | 8.03 | Are the project team members dispersed across multiple cities, counties, districts, or regions? | Single location | 3 sites or fewer |
| 13 | | | 3 sites or fewer | |
| 14 | | | More than 3 sites | |
| 15 | 8.04 | How many external contracting or consulting organizations will this project require? | No external organizations | 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 | More than 4 |
| 23 | | | 2 to 4 | |
| 24 | | | 1 | |
| 25 | | | None | |
| 26 | 8.07 | What is the impact of the project on state operations? | Business process change in single division or bureau | 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 IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 18

Department: Office of the Inspector General

Chief Internal Auditor: Tiffany Hurst

Budget Entity: Division of Vocational Rehabilitation

Phone Number: 850-245-1922

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|---|----------------------|---|--|---|-------------------|
| Office of the Inspector General Six-Month Status Report # F-1617-029 on Report # A-1516-025 | 7/20/2017 | Division of Vocational Rehabilitation (DVR) Service Source Workforce Innovation and Opportunity ACT (WIOA) | <p>Finding 1. Service Source did not meet all required yearly deliverables. Recommendation: We recommend that Service Source enhance its processes to ensure they meet all deliverable requirements.</p> <p>Finding 2. Service Source did not meet all required monthly deliverables and did not provide justification for all unmet monthly deliverables. Recommendation: We recommend that Service Source enhance its processes to ensure they meet all deliverable requirements, and an appropriate justification and a plan for meeting the requirement in subsequent months is included when they do not meet deliverable requirements.</p> | <p>Management response: Relative to the first point, performance deliverables are different across several contracts. As the WIOA performance indicators change, along with the DVR RSA 911, we will report to our federal partners.</p> <p>This will probably clarify some of the discrepancies in reporting. We are also addressing through negotiations some of the staffing issues which will rectify some of these problems. Negotiations are on-going at this time. Through quality review we have also addressed some of the timeframe</p> <p>Completion date: 1/1/2018 Steve Palumbo: 772-446-8689</p> <p>Management response: We have been more diligent in reporting on a monthly basis and it is rare when a report is missed. These are however picked up during the monthly billing reports. The monthly minimums are also looked at from the perspective of annual achievement; in some cases the monthly is unmet but we are ahead on the annual goal.</p> | |

Office of the
Inspector General
Six-Month Status
Report #
F-1617-029 on
Report #
A-1516-025

7/20/2017

Division of Vocational
Rehabilitation (DVR)
Service Source

Finding 3. Service Source did not meet all required yearly deliverables.
Recommendation: We recommend DVR review the requirements for subsequent contracts to ensure that the deliverable amounts are achievable.

Finding 4. DVR omitted a penalty from Amendment #1, Contract #14-135.
Recommendation: We recommend DVR improve their amendment review process to ensure all contractual requirements, penalties, and deliverables are accurately included in amendments prior to approval and execution. We also recommend DVR ensure the appropriate penalties are included in all future contracts.

Finding 5. DVR calculated penalties inaccurately.
Recommendation: We recommend that DVR implement a review process to ensure they calculate penalties correctly and in compliance with contractual requirements.

Some of the DVR deliverables in the various contracts are no longer a priority for the DVR; some are no longer measured; such as 60 day acceptance compliance. These issues will be addressed in contract negotiations, which are in progress.

Management response: The WIOA has established six primary indicators of performance. Once the new performance measures are completed, DVR will be able to incorporate these measures into a new contract that will provide more achievable deliverables, which also align with DVR's new primary goals.

Completion date: 9/30/2017
Amand Ulmer: 850-245-3372
Jennifer Ellingsen: 850-245-7004

Management response: Review process is complete. Contract rewrite is complete.

Completed: 9/30/2017
Amanda Ulmer: 850-245-3372
Jennifer Ellingsen: 850-245-7004

Management response: DVR will develop a process of checks and balances to ensure all penalties, if applicable, are calculated correctly.

Complete: 7/20/2017
Amanda Ulmer: 850-245-3372
Jennifer Ellingsen: 850-245-7004

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| Office of the Inspector General Six-Month Status Report # F-1617-029 on Report # A-1516-025 | 7/20/2017 | Division of Vocational Rehabilitation (DVR) Service Source | Finding 6. Service Source did not met all required monthly deliverables and did not provide justification for all unmet monthly deliverables. Recommendation: We recommend that DVR review all submitted invoices to ensure Service Source meets all monthly deliverable requirements, and if they are not met, an appropriate justification is included with a plan for meeting the requirement in subsequent months. | Management response: Desk procedures and monitoring tools have been created, and will be revised as needed to ensure that Service Source is in compliance with the monthly deliverable requirement as required by contract. Complete: 7/20/2017 Amanda Ulmer: 850-245-3372 Jennifer Ellingsen: 850-245-7004 |
| Office of the Inspector General Report # A-1617-015 | 7/27/2017 | Division of Vocational Rehabilitation (DVR) Dan Marino Foundation (DMF) Adults with Disabilities (AWD) | Finding 1: DVR approved unallowable expenditures and did not require additional documentation for questionable costs. Recommendation: We recommend DVR review submitted expenditures and ensure DMF expends funds in compliance with the grant; the approved budget; and applicable laws, rules, and regulations prior to payment. We additionally recommend DVR provide training to DMF on allowable prior to payment. We additionally recommend DVR provide training to DMF on allowable expenditures and required supporting documentation for expenditures, particularly travel expenses. We recommend DMF ensure all expenditures submitted are made in accordance with grant terms. | DVR management response: Concur. DVR will review supporting documentation and expenditures to ensure compliance with all known applicable laws, rules, and regulations, as well as, allowable expenses. In addition, DVR will create a procedures manual for the AWD Program that will outline all the applicable laws, rules, regulations, checklists, and procedural guidelines that will assist the AWD programs. DVR will also provide travel training to DMF during the grant period. DMF management response: Concur. Unallowable expenditures: Some expenses submitted for reimbursement were, in the past, allowed/processed. As soon as these unallowable expenses were brought to our attention, we discontinued applying them to this grant. Travel: As soon as the travel forms were brought to our attention, we began using them. However, we may need further clarity on when to use “Map Mileage” vs “Vicinity Mileage.” |

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| Office of the Inspector General Report # A-1617-015 | 7/27/2017 | Division of Vocational Rehabilitation (DVR) Dan Marino Foundation (DMF) Adults with Disabilities (AWD) Department of Education (DOE) Fiscal Year (FY) | Finding 2: DVR approved and paid for deliverables DMF did not achieve. Recommendation: We recommend DVR review the deliverables reported by the provider to ensure achievement of deliverable requirements prior to approving invoices. We additionally recommend that DVR management review amendments prior to execution to ensure that the deliverables are achievable by the provider. | A significant amount of travel is required by job coaches, employment specialists, and behavioral support staff. Our program participants spend more than 200 hours on internship sites. Often, these staff travel to multiple sites in one day, taking them over the 50 mile/day guide for “Map Mileage.” Our program spans 2 locations, 40 miles apart. Key staff are required to support participants and instructors in both locations. DVR management response: Concur. For the 2017-18 Grant FY, DVR will ensure deliverables are achieved prior to approving invoices. DVR will create a checklist that will outline what is provided in the quarterly reports by DMF. For the 2017-18 Grant FY, DVR will work with the DOE Grants Management office to ensure deliverables are achievable prior to execution of amendments. |
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| Office of the Inspector General Report # A-1617-015 | 7/27/2017 | Division of Vocational Rehabilitation (DVR) Dan Marino Foundation (DMF) Adults with Disabilities (AWD) | <p>Finding 3: DVR did not review the quarterly reports timely and did not ensure the reports contained all required information.</p> <p>We recommend DVR track the receipt of quarterly reports as well as the grant manager's review of the reports to ensure DVR receives and inspects all quarterly reports in the required timeframe. We recommend DVR ensure all required information is included in the quarterly reports prior to payment. We additionally recommend that DVR provide training to DMF on the requirements for submission of quarterly reports. We recommend DMF include the required evaluations of the project to date, including barriers and recommendations to overcome those barriers, in all submitted quarterly reports per the grant agreement.</p> | <p>DVR management response: Concur. DVR has created an invoice tracking form that will be used to track the receipt of invoices, payment of invoices, and any reasons for delays in payment of invoices. In addition, DVR will provide training to DMF on what is required in the quarterly reports for prompt payments.</p> <p>DMF management response: Concur. Every quarter, a summary of each deliverable was provided that included the activities completed, outcomes, and evaluation, along with the evidences to support the outcomes (print outs, logs, etc.).</p> |
| | | | <p>Finding 4: DVR did not make all improvements to grant deliverables based on the DFS audit of the 2015-2016 grant.</p> <p>Recommendation: We recommend DVR ensure that all grant deliverables are measurable, compensation is tied to each deliverable, and financial consequences can be applied for unmet deliverables.</p> | <p>Going forward, a quarterly summary report will be provided that presents an overview of each deliverable outcome and evaluation, along with barriers and recommendations for overcoming those barriers.</p> <p>DVR Management Response: Concur. For the 2017-18 Grant FY, DVR will ensure all deliverables are measurable and compensation is tied to each deliverable. A procedure manual will be created to assist the AWD programs with creating and meeting established deliverables as written in the grants. In addition, DVR withholds fifteen percent of DMF awarded funding to apply any financial consequences for unmet deliverables.</p> |

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| | | | <p>Finding 5: DVR did not include outcome deliverables in the DMF grants. Recommendation: WE recommend that DVR include deliverable requirements in future DMF grants to address employment after graduation and staff qualifications.</p> | <p>DVR management response: Concur. For the 2017- 18 Grant FY, DVR will require DMF to include employment reporting during each quarterly report. For the 2017-18 Grant FY, DVR will require DMF to provide staff qualifications for each employee of the Adults with Disabilities grant this is to include any amendments also.</p> |
| <p>Office of the Inspector General 12-Month Status Report # F-1617-031 on Report # A-1516-009</p> | 8/2/2017 | <p>Division of Vocational Rehabilitation (DVR) Space Coast Center for Independent Living Center for Independent Living (CIL)</p> | <p>Finding 1: The CIL did not meet employment requirements. Recommendation: We recommend the CIL develop an improvement plan to bring them into compliance with the Code of Federal Regulations. We recommend the CIL develop and implement employee and board training and development programs to ensure employees providing IL services and those administering the IL program have the skills and knowledge necessary to perform their duties.</p> | <p>Management response: The board is currently working on updating the organization's By-laws and training packets based on the Board Governance training attended on January 27, 2017. This will provide new board members with he knowledge of Independent Living Centers ad the Space Coast Center for Independent Living's mission.</p> |
| <p>Office of the Inspector General 12-Month Status Report # F-1617-031 on Report # A-1516-009</p> | 8/2/2017 | <p>Division of Vocational Rehabilitation (DVR) Space Coast Center for Independent Living Center for Independent Living (CIL)</p> | | <p>The packets are nearing the final draft, at which time the board will review for approval and implementation. Completion date: October 2017 Contact: Rosemary Miles</p> |

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| <p>Office of the Inspector General 12-Month Status Report # F-1617-031 on Report # A-1516-009</p> | <p>8/2/2017</p> | <p>Division of Vocational Rehabilitation (DVR) Space Coast Center for Independent Living Center for Independent Living (CIL)</p> | <p>Finding 2: The CIL did not provide the four independent living core services to one of the two counties. Recommendation: We recommend the CIL serve eligible individuals with the four independent living core services in Brevard and Indian River County as stated in the SPIL for Florida for 2014-2016 and the CIL's Program Services Policies and Procedures.</p> <p>Finding 3: The CIL policies and procedures need improvements. Recommendation: We recommend the CIL update its financial policies and procedures so they do not conflict with contract terms and consistently follow its established policies and procedures.</p> <p>Finding 4: The CIL continued to charge consumers a fee for transportation services despite DVR's failure to develop guidelines. Recommendation: We recommend DVRA develop guidelines for charging consumers for the cost of IL services or disallow the practice.</p> | <p>Management response: For FY 2016-17 Space Coast Center for Independent Living doubled the number of consumers served in Indian River County from the number served in fiscal year 2015-2016. Space Coast CIL currently holds Independent Living skills classes at Gulfstream Goodwill Industries in Vero Beach, FL.</p> <p>Management response: The board is finalizing the Financial Policies review process. They are nearing the final draft, at which time the board will review for approval and implementation.</p> <p>Management response: To date the Administration on Community Living has provided no guidance regarding financial means testing. To address this issue Vocational Rehabilitation has inserted the following language in the contract template for Centers for Independent Living to begin being used October 2017.</p> <p>"The Center shall not require financial needs testing of financial participation by consumers of independent living services funded under the State Plan for Independent Living(SPIL) unless of until guidelines are developed in collaboration with the Division of Vocational Rehabilitation and the Florida Independent Living Council, and approved by a majority of the Centers Directors'.</p> |
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Finding 5: The CIL did not meet employment requirements.
Recommendation: We recommend DVR provide technical assistance as needed to ensure the CIL remains eligible for state and federal assistance.

Management response: Vocational Rehabilitation will begin on-site monitoring of Centers for Independent Living in the fall of 2017. Review of staff qualifications and training based on position will be part of the process. Vocational Rehabilitation staff will make recommendations based on any identified deficiencies in staff expertise. Vocational Rehabilitation staff is scheduled to provide training at the 2017 Statewide Independent Living Conference, September 13-14, and will include as part of the training, how Centers can mitigate deficiencies identified through administration reviews.

Finding 6: The CIL did not provide the four independent living core services to one of the two counties.
Recommendation: We recommend DVR add language in its contracts with the CILs to specify service delivery areas.

VR is currently developing the revised contract templates for Centers for Independent Living. The target for executing new contracts with all Centers for Independent Living is October of 2017.

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| <p>Office of the Inspector General Report # F-1617- 031 12-Month Status Report on # A-1516-009</p> | <p>8/2/2017</p> | <p>Division of Vocational Rehabilitation (DVR) Space Coast Center for Independent Living Center for Independent Living (CIL)</p> | <p>Finding 7: The CIL did not maintain appropriate fiscal oversight. Recommendation: We recommend DVR perform periodic reviews to ensure expenditures are allowable, allocable, reasonable, and necessary to the performance of the contract.</p> | <p>Language in the new contract will address the provision of core services Centers for Independent Living are federally mandated to provide. Contract manager continues to review expenditures monthly. The method of payment will be changed back to fixed rate when new contract is executed. Management Response: Contract Manager continues to review expenditures monthly. The method of payment will be changed back to fixed rate when new contract is executed. Completed: 8/8/2017 Contacts: Jennifer Powell/Maggie Munsey; 245-3386</p> |
| <p>Office of the Inspector General 12-Month Status Report # F-1718-003 on Report # A-1415-022</p> | <p>9/15/2017</p> | <p>Division of Vocational Rehabilitation (DVR) Third Party Cooperative Agreement (TPCA) with Bay County School Board Vocational Rehabilitation (VR) Community Based Work Experience (CBWE) Rehabilitation Electronic Billing Application (REBA)</p> | <p>Finding 1: The school district did not submit the CBWE rating forms to DVR. Recommendation: We recommend DVR ensure the school district submits the CBWE rating forms in accordance with the agreement terms and maintain copies of the reports in the case record per the agreement.</p> | <p>Management response: The TPCA agreement has been rewritten and includes the following language: Using REBA, the school District shall submit SPR on a monthly basis. CBWE Rating forms shall be submitted once Work Experience begins, and quarterly thereafter unless requested more often by the VR counselor. Copies of the CBWEs will be kept in case file of each student. The manager is checking REBA on a monthly basis to confirm CBWE rating forms are attached with monthly invoicing. Complete: 9/22/2017 Contact: Maggie Munsey 245-3386</p> |

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| Office of the Inspector General 12-Month Status Report # F-1718-003 on Report # A-1415-022 | 9/15/2017 | Division of Vocational Rehabilitation (DVR) Third Party Cooperative Agreement (TPCA) with Bay County School Board Vocational Rehabilitation (VR) Employment Specialist (ES) | Finding 2: School district expenditures did not conform to the agreement. Recommendation: We recommend DVR more closely review expenditures to ensure they are appropriate and align with the agreement. We further recommend DVR review previous and current expenditures for unallowable expenses, such as those identified in our audit, and seek repayment from the school district for those expenses deemed unallowable. | Management response: The TPCA agreement has been rewritten and includes the following language: Upon receipt of a properly submitted invoice, DVR will pay ES monthly salary and benefits, not to exceed the Arrangement maximum set. The agreement is set up to reimburse the Employment Specialist salary and benefits only. The Board will not receive a fixed fee. Complete: 9/22/2017 Contact: Maggie Munsey: 245-3386 |
| Office of the Inspector General Report # A-1516-028 | 11/8/2017 | Division of Vocational Rehabilitation (DVR) New Haven Development Center, Inc. Contract # VR5171 | Finding 1: DVR did not conduct required quarterly monitoring. Recommendation: We recommend DVR conduct quarterly and annual monitoring of the New Haven contract based on the risk evaluation. In addition, we recommend DVR promptly provide the results and the recommendations of the monitoring to New Haven and ensure corrective action has been initiated on noted deficiencies. Finding 2: New Haven did not make timely contract with customers. Recommendation: We recommend New Haven begin regular contact with the customers within two weeks of referral acceptance in accordance with contract terms. If New Haven is unable to contact the customers, they should notify the VR counselor in writing to document contact attempts. | DVR management response: Concur. VR is currently revamping monitoring processes for Employment Service Providers. Under the new processes, the Provider will be made aware of results and recommendations at the end of each data analysis review. Monitoring schedules will continue to be driven by risk assessment. New Haven management response: Concur. New Haven Development Center will begin to contact customer within two weeks of accepting the referrals. |

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| Office of the Inspector General Report # A-1516-028 | 11/8/2017 | Division of Vocational Rehabilitation (DVR) New Haven Development Center, Inc. Contract # VR5171 | <p>Finding 3: New Haven did not submit monthly progress reports (MPR) timely. Recommendation: We recommend New Haven maintain monthly contact with customers and submit MPR's timely in accordance with contractual terms. We recommend DVR ensure New Haven submits all MPR's prior to benchmark payments and consider financial penalties for late MPR submissions.</p> | <p>DVR Management response: Concur. The Provider Manager will not approve any benchmark payment without all required MPRs. Late MPR submission will be reflected on the Provider's monitoring report (s). Chronic late submissions may lead to suspension or revocation of Provider status.</p> |
| | | | <p>Finding 4: New Haven did not submit, and DVR did not approve, invoices timely. Recommendation: We recommend DVR timely approve invoices within five working days of receipt to ensure prompt payment to the provider. We recommend Hew Haven submit all invoices no later than 15 days after NOA approval in accordance with contract terms.</p> | <p>New Haven management response: New Haven Development Center will begin to contact customers and maintain monthly progress notes in accordance with contractual terms.</p> <p>DVR management response: Concur. DVR will work to improve invoice processing time.</p> <p>New Haven management response: Concur. New Haven Development Center will comply with contract of submitting invoices in a timely matter. (15) days.</p> |
| | | | <p>Finding 5: New Haven submitted a quarterly report late and did not include all required documentation. Recommendation: We recommend New Haven complete the required employment recruitment activities and submit the quarterly reports timely per the contract terms. We recommend DVR ensure New Haven submits the quarterly reports in a timely manner and include all required documents. If New Haven does not submit complete reports, DVR should promptly contact the provider and document the lack of compliance.</p> | <p>DVR management response: Concur. DVR will make regular contact with the Provider when the quarterly report is due. Late quarterly report submission will be reflected on the Provider's monitoring report(s). Chronic late submissions may lead to suspension or revocation of Provider status.</p> <p>New Haven management response: Concur. As per contract New Haven Development Center will submit quarterly reports and all required documents within the time frame of the due dates.</p> |

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| Office of the Inspector General Report # A-1516-030 | 12/11/2017 | Division of Vocational Rehabilitation (DVR) Florida Independent Living Council (FILC) | <p>Finding 1: DVR failed to monitor Florida Independent Living Council's (FILC) adherence to the agreement. Recommendation: We recommend DVR monitor adherence to the agreement and review supporting documentation to ensure FILC is meeting the Council's responsibilities as stated in the agreement. We additionally recommend DVR review expenditures quarterly to ensure payments are made in accordance with agreement terms and state department requirements for expenditures.</p> <p>Finding 2: FILC failed to coordinate activities with the Florida Rehabilitation Council (FRC) in accordance with agreement terms. Recommendation: We recommend FILC ensure, and document, coordination of activities with FRC and other councils that address the needs of specific disability populations and issues.</p> <p>Finding 3: FILC failed to effectively monitor, review, and evaluate the implementation of the State Plan for Independent Living (SPIL). Recommendation: We recommend FILC effectively monitor, review and evaluate the implementation of the SPIL and develop policies and procedures outlining how that should occur.</p> | <p>DVR management response: Concur. DVR will develop a review tool to assist in monitoring both RV and FILC's compliance with contractual and legislative responsibilities. Some of the items included in the tool include, a review of progress on the state plan; a review of the progress on the development of the 2020 SPIL; and a review of the FILC's collaboration with other disability organizations in Florida.</p> <p>FILC management response: FILC concurs that coordination is not happening; however, it is dependent on the Governor to make joint appointment to both councils. SILC met on December 5, 2017, and adopted the following motion to address this finding. It was decided that a special committee would be formed to develop written policy to support this motion passed by the MOTION: Council member or FILC will cover expenses for travel and report will be made on FRC activities at the regular FILC meeting following the FRC meeting.</p> <p>FILC management response: Concur; however, this is a challenge when the FILC has no authority over the CILs to assure they follow or report accurately their activities on the SPIL. DVR has no obligation to assure CILs are carrying out their contract obligations. FILC met on December 5, 2017, and adopted the following motion to address this finding.</p> |
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Office of the
Inspector General
Report #
A-1617-030

12/11/2017

Division of Vocational
Rehabilitation (DVR)
Florida Independent
Living Council (FILC)

It was decided that a special committee would be formed to develop written policy to support this motion passed by the council. FICL SPIL Committee met on November 28, 2017, and will continue to meet on the 4th Tuesday (alternate date in cases of holiday or conflicts in schedule) month to review and monitor the SPIL. Minutes will be kept of each meeting. Recommendations to the full council will be made on determining quality assurance measures. Training will be developed for the CILs to better complete report forms and will be delivered at the Statewide IL Conference to be held on May 16-17. MOTION: Provide SPIL Committee meeting schedule, produce minutes, determine quality assurance, develop training related to the SPIL and of its reporting in collaboration with Network of Centers to use for training at the IL Conference in May 2018.

Finding 4: FILC expended funds on behalf of a resigned staff member.

Recommendation: We recommend FILC ensure all expenditures are made in accordance with agreement terms.

FILC management response: Concur. FILC met on December 5, 2017; and adopted following motion to address this finding. It was decided that a special committee would be formed to correct and develop written policy within six months to assure this does not happen in the future.

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| <p>Office of the Inspector General 6-Month Status Report # F-1718-013 on Report # A-1617-015</p> | <p>1/31/2018</p> | <p>Division of Vocational Rehabilitation (DVR) Dan Marino Foundation (DMF) Adults with Disabilities (AWD)</p> | <p>Finding 1. DVR approved unallowable expenditures and did not require additional documentation for questionable costs. Recommendation: We recommend DVR review submitted expenditures and ensure DMF expends funds in compliance with the grant; the approved budget; and applicable laws, rules, and regulations prior to payment. We recommend DVR ensure they receive all supporting documentation to determine if expenditures are allowable prior to payment. We additionally recommend DVR provide training to DMF on allowable expenditures, particularly travel expenses.</p> <p>Finding 2. DVR approved and paid for deliverables DMF did not achieve. Recommendation: We recommend DVR review the deliverables reported by the provider to ensure achievement of deliverable requirements prior to approving invoices. We additionally recommend that DVR management review amendments prior to execution to ensure that the deliverables are achievable by the provider.</p> <p>Finding 3. DVR did not review quarterly reports timely and did not ensure the reports contained all required information. We recommend DVR track the receipt of quarterly reports as well as the grant manager's review of the reports to ensure DVR receives and inspects all quarterly reports in the required timeframe. We recommend DVR ensure all required information is included in the quarterly reports to prior payment. We also recommend that DVR provide training to DMF on the requirements for submission of quarterly reports.</p> | <p>Management response 01/27/18: DVR is reviewing supporting documentation and expenditures to ensure compliance of grant agreement. DVR has created and distributed a procedures manual for the AWD Program that outlines applicable las, rules, regulations, checklists, and procedural guidelines. Manual distributed 12/14/17. DVR provided a Reimbursement and Travel training to DMF. Documents included invoice checklist, travel PowerPoint, and DOE Travel Manual. Training completed 10/31/17 Complete: Renae Williams 245-3362</p> <p>Management response 01/27/18: DVR worked closely with DOE Grants Management office to ensure deliverables are achievable prior execution of grant. As of today, no amendments has been required. DVR has created an invoice checklist to ensure achievement of deliverables, completed 10/12/2017 Complete: Renae Williams 245-3362</p> <p>Management response 01/27/18: DVR created an invoice tracking system that documents the date the invoice was received, request for additional information, and the date forwarded to financial payments. Complete: Renae Williams 245-3362</p> |
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| <p>Office of the Inspector General 6-Month Status Report # F-1718-013 on Report # A-1617-015</p> | <p>1/31/218</p> | <p>Division of Vocational Rehabilitation (DVR) Dan Marino Foundation (DMF) Adults with Disabilities (AWD)</p> | <p>Finding 4. DVR did not make all improvements to grant deliverables based on the DFS audit of the 2015-2016 grant. Recommendation: We recommend DVR ensure that all grant deliverables are measurable, compensation is tied to each deliverable, and financial consequences can be applied for unmet deliverables.</p> <p>Finding 5. DVR did not include outcome deliverables in the DMF grants. Recommendation: We recommend that DVR include deliverable requirements in future DMF grants to address employment after graduation and staff qualifications.</p> <p>Finding 6. DVR approved unallowable expenditures and did not require additional documentation for questionable costs. Recommendation: We recommend DMF ensure all expenditures submitted are made in accordance with grant terms.</p> | <p>Management response 01/27/2018: For 2017-2018 DVR has ensured each deliverable is measurable, compensation is tied to each deliverable, and fifteen percent of awarded funding is withheld for applicable financial consequences of unmet deliverables. Completed and ongoing. Renae Williams 245-3362</p> <p>Management response: Deliverable requirements have been included in 2017-2018 grants. Complete. Renae Williams 245-3362</p> <p>Management response 01/27/2018: Reviewed DOE staff feedback on unallowable expenditures. Met with accounting staff to ensure that allowable expenditures are not submitted. Completed: 10/6/2017</p> |
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| | | | | <p>Travel: DOE form training provided to DMF project management staff on 10/31/2017. Subsequent training provided to DMF staff on 11/29 and 11/30 with an on-demand training available for follow-up. DOE provided a detailed report explaining how mileage is handled in our organization and will provide that explanation each time DMF policy for reimbursable mileage differs from FLDOE's calculations (e.g., beginning and/or ending travel with the last job coaching location if that location is closer than commute to headquarters) Completed: 11/30/2017</p> |
| <p>Office of the Inspector General 6-Months Status Report # F-1718-013 on Report # A-1617-015</p> | <p>1/31/2018</p> | <p>Division of Vocational Rehabilitation (DVR) Dan Marino Foundation (DMF) Adults with Disabilities (AWD)</p> | <p>Finding 7. DVR did not review the quarterly reports timely and did not ensure the reports contained all required information. Recommendation: We recommend DMF include the required evaluations of the project to date, including barriers and recommendations to overcome those barriers, in all submitted quarterly reports per the grant agreement.</p> | <p>Management response 1/27/2018: In addition to the individual summary for each scope-of-work that has been provided each quarter in prior submissions, a new document was created that provides a summary of the entire project including the status of each deliverable as well as barriers and recommendations (if any) to accomplishing the goal(s) of the project. This summary document will be submitted each quarter. Completed 10/6/2017</p> |

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| Office of the Inspector General 12-Month Status Report # F-1718-015 on Report # A-1516-025 | 1/31/2018 | Division of Vocational Rehabilitation (DVR) Service Source | <p>Finding 1. Finding 1. Service Source did not meet all required yearly deliverables. Recommendation: We recommend DVR review the requirements for subsequent contracts to ensure that the deliverable amounts are achievable.</p> | <p>Management response 1/20/2018: The new contracts are in negotiation stage with the DVR and Service Source. Target date for finalizing draft contract is January 30, 2018. Contract execution set for July 1, 2018.</p> |
| Office of the Inspector General 12-Month Status Report # F-1718-015 on Report # A-1516-025 | 1/31/2018 | Division of Vocational Rehabilitation (DVR) Service Source | <p>Finding 2. DVR omitted a penalty from Amendment #1, Contract #14-135. Recommendation: We recommend DVR improve their amendment review process to ensure all contractual requirements, penalties, and deliverables are accurately included in amendments prior to approval and execution. We also recommend DVR ensure the appropriate penalties are included in all future contracts.</p> <p>Finding 3. Service Source did not meet all required yearly deliverables. Recommendation: We recommend that Service Source enhance its processes to ensure they meet all deliverable requirements.</p> | <p>The new contracts are in negotiation stage with the DVR and Service Source. Target date for finalizing draft contract is January 30, 2018. Contract execution set for July 1, 2018.</p> <p>Management response 1/20/2018: This responder has taken over the Project Director position as of 9/4/17. I worked as the Assistant Project Director with Steve Palumbo prior to my recent appointment, so I was involved in these processes.</p> <p>Service Source is currently involved with contract negotiations with DVR to add key positions that will assist with timeliness, compliance, and overall flow of the casework approval, leading to more accurate outcomes. An open discussion under the current contract negotiations involves contract language that would allow for Service Source to move vacant positions from one office to another to meet the needs of units without Contract Amendments in the future.</p> |

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| Office of the Inspector General 12-Month Status Report # F-1718-015 on Report # A-1516-025 | 1/31/2018 | Division of Vocational Rehabilitation (DVR) Service Source | | Over the past twelve months, current Director has worked with a team of DVR Private Supervisors to assist regions 23L and 23O with their challenges in meeting their deliverables and meeting the State's expectations. These units have improved with these extra supports. The proposed new contract would include a Supervisor position in the Keys 23L and the Area would then provide a part time State Analyst for assistance in this region. Training and monitoring is difficult in this area based on the distance of these offices from their current Supervisor. All cases have had to be sent by mail to be approved under the current contract by the State Analyst in the Unit 230. This has resulted in some cases being approved late and management of casework being delayed. These new positions will reduce turnaround time on approvals, improving compliance and providing more oversight. The current Director has continued acting as Assistant Project Director for the Southern Units until the new position of Assistant Project Director is added under the new contract. The previous position was filled, and this position is currently supporting the Northern Units. Having that extra oversight |
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for the past three months has been a great asset to the program. The second position will be a great asset to assist with the Southern offices as well. We have also requested an additional position in our largest unit 20A for a Consultant position. This unit has one of the largest caseloads in the State of Florida with two acting Counselor Analysts to support. There is only one Unit Supervisor supporting four county offices. This consultant will be of assistance to the Supervisor in maintaining, and any other additional supports needed for this large group. The contract updates have been submitted and Service Source is waiting on final approval from DVR. There are still challenges with accurate data collection in some of the measured areas with the DVR RIMS system. We have had some issues over the past twelve months in some of the offices with Field Services Operating Procedure that requires State Counselor Analysts to approve casework within 4 business days.

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| Office of the Inspector General 12-Month Status Report # F-1718-015 on Report # A-1516-025 | 1/31/2018 | Division of Vocational Rehabilitation (DVR) Service Source | This led to some compliance issues in some offices. This project Director has discussed the need for more consistency in these positions throughout the state with the Area Directors and Bureau Chiefs, and we are working together to ensure that these issues are being resolved. We all experienced natural disasters this past twelve months. The hurricanes in September, 2017, closed many offices throughout the state for different periods of time. During the month of the hurricane and in some regions into the following month, we needed to justify some deliverables not being met. The Keys offices were closed for almost a month due to storm damage. |
| | | | Many participants moved out of the area causing case closures and consumer contacts not being able to be made in established timeframes. Other offices were also affected by these storms causing reasons for justifications for casework not met. Over the past twelve months, the Bureau has rolled out many new positive initiatives that our units have been participating in and complying with as well as keeping up with their deliverables in most cases. My team of Supervisors and Assistant Project Director have been working very closely with me to support the staff in working towards meeting their required yearly deliverables. I am confident that the new contract and its additions will also support our continued success. |

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| <p>Office of the Inspector General 12-Month Status Report # F-1718-015 on Report # A-1516-025</p> | <p>1/31/2018</p> | <p>Division of Vocational Rehabilitation (DVR) Service Source</p> | <p>Finding 4. Service Source did not meet all required monthly deliverables and did not provide justification for all unmet monthly deliverables. Recommendation: We recommend that Service Source enhance its processes to ensure they meet all deliverable requirements, and an appropriate justification and a plan for meeting the requirement in subsequent months is included when they did not meet deliverable requirements.</p> | <p>Management response 1/20/2018: Service Source provided justifications for every month over the past twelve months for all units that met less than the minimum standards under the current contract. We are continuing to do so moving forward as well. Over the past few months, it has been an expectation of each DVR Area Director that Service Source attempt to reach 100% compliance with case alerts as well as 100% compliance in the 60 and 90 day goals for Eligibilities and IPE processing. The RIMS system does not take the extensions into consideration for this goal.</p> | <p>This is not in line with our current contract expectations, but our units have been complying to the best of their ability along with paying attention to our current goals and deliverables as well. This recent focus by DVR is not part of Service Source's contract deliverables, but I'm assured will be added to the new contracts. This Director has supported this mission throughout the private units in the State. The State DVR is restructuring how they want cases to look as part of the changes brought with WIOA and the changes in RSA indicators. The shift has gone from quantity to quality, which is not completely reflected in the current deliverables. Quality is always an important part of our contract, and this is emphasized by me and my staff.</p> |
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Office of the
Inspector General
12-Month Status
Report #
F-1718-015 on
report #
A-1516-025

1/31/2018

Division of Vocational
Rehabilitation (DVR)
Service Source

They have also had to meet numeric deliverables that weren't required in State DVR units. Over the past twelve months, some of our service areas have seen changes due to zip code assignments by area offices. Some of this was done to ensure that all State offices were working with Transition Age students. Also, in some units, special projects were moved from offices and others added. For example, in Unit 230 we lost our Project Search caseload but we were given a Farm Worker Program. This program needed Creole interpreting, so this has been a challenge at times for this unit. Over the last twelve months, Service Source has adopted DVR's new face to face monthly documentation for staff.

In some units where we saw the need for additional reinforcements, we use this document on a weekly basis to support any staff that are in need of additional training or supports. This project Director has identified units that are in need of further assistance in training and meeting compliance measures over the past twelve months, and we sent in teams of Supervisors on the private side to provide this training. Ongoing contract negotiations are addressing some of these needs with the additions to positions in some area offices. Some of the monthly performance measures that we justified that were not met were rectified by the units meeting their numbers by the end of the contract year.

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| <p>Office of the Inspector General 18-month Status Report # F-1718DOE-014 on Report # A-1516-009</p> | <p>2/8/2018</p> | <p>Division of Vocational Rehabilitation (DVR) Space Coast Center for Independent Living Center for Independent Living (CIL)</p> | <p>Finding 1. The CIL continued to charge consumers a fee for transportation services despite DVR's failure to develop guidelines. Recommendation: We recommend DVR develop guidelines for charging consumers for the cost of IL services or disallow the practice.</p> <p>Finding 2. The CIL did not meet employment requirements. Recommendation: We recommend DVR provide technical assistance as needed to ensure the CIL remains eligible for state and federal assistance.</p> | <p>Management response February 8, 2018: The Independent Living Program Manager is in the process of scheduling a March 2018 site visit that will include an on-site review of policies regarding transportation services provided by Space Coast CIL. Because there continues to be no guidance by the authorizing agency, ACL, VR continues to enforce the contractual prohibition charging fees for service as outlined in all CIL contracts (see below). “The Center shall not require financial needs testing or financial participation by consumers of independent living services funded under the State Plan for Independent Living (SPIL) unless or until guidelines are developed in collaboration with the Division of Vocational Rehabilitation and the Florida Independent Living Council, and approved by a majority of the Center Directors”.</p> <p>Management response February 8, 2018: The Independent Living Program Manager is in the process of scheduling a March 2018 site visit that will include an on-site review of policies regarding staff qualifications for new hires. VR staff will provide technical assistance as needed to ensure the Space Coast CIL remains in compliance with state and Federal guidelines regarding CIL Staff qualifications.</p> |
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| <p>Office of the Inspector General 18-Month Status Report # F-1718DOE-014 on Report # A-1516-025</p> | <p>2/8/2018</p> | <p>Division of Vocational Rehabilitation (DVR) Space Coast Center for Independent Living Center for Independent Living (CIL)</p> | <p>Finding 3. The CIL did not provide the four independent living core services to one of the two counties. Recommendations: We recommend DVR add language in its contracts with the CILs to specify service delivery areas.</p> | <p>Management response February 8, 2018: The Independent Living Program Manager is in the process of scheduling a March 2018 site visit that will include an on-site review of policies regarding the provision of the 5 core services. VR staff will provide technical assistance as needed to ensure the Space Coast CIL remains in compliance with state and Federal guidelines regarding the provision of the 5 core services. The new Contract is going through final DOE review. The execution of the Contract is planned for July 2018. Completion date: March 2018 Maggie Munsey 245-3386</p> |
| | | | <p>Finding 4. The CIL did not meet employment requirements. Recommendation: We recommend the CIL develop an improvement plan to bring them into compliance with the Code of Federal Regulations. We recommend the CIL develop and implement employee and board training and development programs to ensure employees providing IL services and those administering the IL program have the skills and knowledge necessary to perform their duties.</p> | <p>Management response February 8, 2018: The CIL continues to ensure that all new personnel goes through the "Foundation for Independent Living" course with ILRU within their first 90 days of employment; The Board is in its final stages of finishing the By-Laws update and the New Board training material.</p> |
| | | | <p>Finding 5. The CIL policies and procedures need improvements. Recommendation: We recommend the CIL update its financial policies and procedures so they do not conflict with contract terms and consistently follow its established policies and procedures.</p> | <p>Management response June 2018: Finalization of this endeavor was delayed due to impact to individuals working on this from the storms & hurricanes that hit our area. Work is resuming this quarter.</p> |

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| <p>Office of the Inspector General Six-month Status Report # F-1718-015 on Report # A-1516-028</p> | <p>5/25/2018</p> | <p>Division of Vocational Rehabilitation (DVR) New Haven Development Center, Inc. Contract # VR5171</p> | <p>Finding 1. New Haven did not conduct required quarterly monitoring. Recommendation: We recommend DVR conduct quarterly and annual monitoring of the New Haven contract based on the risk evaluation. We recommend DVR promptly provide the results and the recommendations of the monitoring to New Haven and ensure contractive action has been initiated on noted deficiencies.</p> <p>Finding 2. New Haven did not submit monthly progress reports timely. Recommendation: We recommend DVR ensure New Haven submits all MPR's prior to benchmark payments and consider financial penalties for late MPR submissions.</p> <p>Finding 3. New Haven did not submit, and DVR did not approve, invoices timely. Recommendation: We recommend DVR timely approve invoices within five working days of receipt to ensure prompt payment to the provider.</p> <p>Finding 4. New Haven submitted a quarterly report late and did not include all required documentation. Recommendation: We recommend DVR ensure New Haven submits the quarterly reports in a timely manner and include all required documents. If New Haven does not submit complete reports, DVR should promptly contact the provider and document the lack of compliance.</p> | <p>Management response May 8, 2018: Due to competing priorities, VR has not completed all changes to the Employment Services Provider monitoring process. We are completing this project, along with annual risk assessments, now, with a target completion date of July 1, 2018. Contact: Cathy McEachron 245-3274</p> <p>Management Response May 8, 2018: Provider Manager did not notice any MPR deficiencies since internal audit report. Complete: Maggie Munsey 245-3386</p> <p>Management response May 8, 2018: The monitoring and Employment Contracting Unit continues to monitor invoice processing time. Contact: Maggie Munsey 245-3386</p> <p>Management response May 8, 2018: New Haven has submitted the last two Quarterly Reports on time. Complete and ongoing. Contact: Maggie Munsey 245-3386</p> |
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| <p>Office of the Inspector General Six-month Status Report # F-1718-015 on Report # A-1516-028</p> | <p>5/25/2018</p> | <p>Division of Vocational Rehabilitation (DVR) New Haven Development Center, Inc. Contract # VR5171</p> | <p>Finding 5. New Haven did not make timely contact with customers. Recommendation: We recommend New Haven begin regular contact with the customers within two weeks of referral acceptance in accordance with contract terms. If New Haven is unable to contact the customers, they should notify the VR counselor in writing to document contact attempts.</p> <p>Finding 6. New Haven did not submit monthly progress reports timely. Recommendation: We recommend New Haven maintain monthly contact with customers and submit MPRs timely in accordance with contractual terms.</p> <p>Finding 7. New Haven did not submit, and DVR did not approve, invoices timely. Recommendation: We recommend New Haven submit all invoices no later than 15 days after NOA approval in accordance with contract terms.</p> <p>Finding 8. New Haven submitted a quarterly report late and did not include all required documentation. Recommendation: We recommend New Haven complete the required employment recruitment activities and submit the quarterly reports timely per the contract terms.</p> | <p>Management response May 8, 2018: New Haven Development Center has made the correction to contacting customers within two weeks after excepting the referrals. Complete: January 15, 2018</p> <p>Management response May 8, 2018: New Haven Development Center has submitted monthly progress reports in a timely matter in accordance with contractual terms. Complete: January 15, 2018</p> <p>Management response May 8, 2018: New Haven Development Center has been submitting invoices to DVR within 15 days of approval from counselors. Complete: January 15, 2018.</p> <p>Management response May 8, 2018: Quarterly reports and all required documents has been submitted in a timely matter per contract terms. Complete: January 15, 2018.</p> |
| <p>Office of the Inspector General Six-Month Status Report # F-1718-023 on Report # A-1617-030</p> | <p>6/11/2018</p> | <p>Division of Vocational Rehabilitation (DVR) Florida Independent Living Council (FILC)</p> | <p>Finding 1. DVR failed to monitor FILC's adherence to the agreement. Recommendation: We recommend DVR monitor adherence to the agreement and review supporting documentation to ensure FILC is meeting the Councils responsibilities as stated in the agreement. We additionally recommend DVR review expenditures quarterly to ensure payments are made in accordance with agreement terms and state and department requirements for expenditures.</p> | <p>Management response June 11, 2018: A review tool has been developed and implemented for monitoring contractual compliance. DVR has begun reviewing quarterly expenditures to ensure payments are made in accordance with the agreement and relevant requirements for expenditures. Complete Contact: Cathy McEachron 245-3274</p> |

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| <p>Office of the Inspector General Six-Month Status Report # F-1718-023 on Report # A-1617-030</p> | <p>6/11/2018</p> | <p>Division of Vocational Rehabilitation (DVR) Florida Independent Living Council (FILC)</p> | <p>Finding 2. FILC failed to coordinate activities with the Florida Rehabilitation Council (FRC) in accordance with agreement terms. Recommendation: We recommend FILC ensure, and document, coordination of activities with FRC and other councils that address the needs of specific disability populations and issues.</p> | <p>Management response June 11, 2018: Please see attached full council minutes of 2/19/18. Page 7 (Highlighted) MOTION: To Recommend Candace Partee as FILC representative to the Florida Rehabilitation Council. (Turner/DeLilla) The vote was unanimous. Ms. Bopp sent letter to Governor's Appointment Office on March 14, 2018 with the Council's recommendation. Mr. DeLilla has volunteered to be a backup for Ms. Partee when she is unable to attend. Mr. DeLilla attended the FRC meeting in Jacksonville, January 17-18. Roy Coscrove (FRC Executive Director) has reported that their Council is pleased to have Ms. Partee as the FILC/FRC liaison. Mr. Coscrove has also been in touch with the Governor's Appointment Office to encourage expediting the appointment of Ms. Partee. Ms. Partee submitted her application to the Governor's Appointment Office, but has yet to be appointed. FILC will continue to pay travel related expenses until Ms. Partee has been appointed by the Governor. Ms. Partee reported that FRC will meet May 15-16, 2018, August 7-8, 2018 and October 23-24, 2018.</p> |
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Office of the
Inspector General
Six-Month Status
Report #
F-1718-023 on
Report #
A-1617-030

6/11/2018

Division of Vocational
Rehabilitation (DVR)
Florida Independent
Living Council (FILC)

Finding 3. FILC failed to effectively monitor,
review, and evaluate the implementation of the
State Plan for Independent Living (SPIL).
Recommendation: We recommend FILC
effectively monitor, review, and evaluate the
implementation of the SPIL and develop policies
and procedures outlining how that should occur.

Management response June 11, 2018:
The SPIL Committee met on
11/28/17, 03/06/18, 03/27/18.
The SPIL Committee developed a
SPIL at a Glance for each quarter. All
Council members are involved in
reviewing sections to determine if the
objective has been met. The responses
are then calculated on a percentage
basis to "rate" the progress.
At the May full Council meeting, the
Council members discussed processes
for writing the upcoming SPIL to
review, monitor and evaluate in a
measurable way.

The FILC and Network of Centers are
in the process of scheduling a
collaborative SPIL writing meeting for
September 6-7, 2018 in Altamonte
Springs.

Paula McElwee from ILRU has been
contacted to facilitate this meeting and
assist with writing the SPIL.

Finding 4. FILC expended funds on behalf of a
resigned staff member.
Recommendation: We recommend FILC ensure
all expenditures are made in accordance with
agreement terms.

Management response June 11, 2018:
The Council and Adhoc Committees
are working on strengthening all
policies and procedures. The Bylaws
have been revised, but have not been
voted on.

The Council has tasked the new
Executive Director, Beth Meyer (start
date June 11, 2018) with reviewing
and revising all policies and
Ms. Meyer has extensive experience in
writing policy. It will be top priority
for the new Executive Director to
review and revise all policies and
procedures of the Council. Anticipated
completion should be one to two
months following her start date of
June 11, 2018.

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| Office of the Inspector General Report # A-1718-004 | 6/30/2018 | Division of Vocational Rehabilitation (DVR) Center for Independent Living of South Florida, Inc. (CILSF) | <p>Finding 1. The CILSF did not ensure consumer service records contained all required documentation. Recommendation: We recommend the CILSF establish and implement a written policy and procedure requiring the CILSF staff to establish IL plans with consumers and document the joint development of the plan as well as conduct and document timely annual reviews. We also recommend DVR include a review of CSRs in its monitoring activities.</p> <p>Finding 2. The CILSF recorded service hours inconsistently. Recommendation: We recommend the CILSF consistently and accurately record service hours in the COMS systems and ensure the hours submitted to DVR though invoices are supported and accurate. We recommend the CILSF review service hour documentation and ensure hours are properly categorized and unduplicated. We recommend DVR periodically request and review supporting documentation for the service hours submitted by CILSF through the invoices.</p> <p>Finding 3. The CILSF policies and procedures need improvements. Recommendation: We recommend the CILSF update its policies and procedures so they do not conflict with contract terms, each other, or the federal regulations.</p> | <p>DVR management response: Concur. DVR will add the CSRs to the CILS monitoring plan and monitoring tool. CILSF management response: Concur. CILSF strongly believes in record integrity both to meet the expectations of partners and our internal needs. We have placed a huge emphasis on dramatically improving the quality of documentation and will continue to do so.</p> <p>DVR management response: Concur. DVR will require the CIL to submit quarterly supporting documentation of their service hours. CILSF management response: Concur. The agency works hard to accurately report our performance to DVR. At no point have we or will we ever overstate the work performed. We have modified policies to dramatically reduce the discrepancy. We will continue to implement policy changes to close that gap.</p> <p>CILSF management response: Concur. CILSF is going to reach out to DVR for their recommendations for best practices. Once something has been created acceptable for the agency and DVR, it will be put before the Board for vote and approval.</p> |
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| Office of the Inspector General Report # A-1718-004 | 6/30/2018 | Division of Vocational Rehabilitation (DVR) Center for Independent Living of South Florida, Inc. (CILSF) | <p>Finding 4. The CILSF did not always follow its own internal policies. Recommendation: We recommend the CILSF consistently follow its established policies and procedures and ensure board approval prior to purchases in excess of \$2,500. We additionally recommend all board approval is documented and maintained.</p> | <p>CILSF management response: Concur. Established policies and procedures will be maintained even if its last minute purchases. We will establish a template to forward to the Board President for approval on any purchases over \$2500, even if the Board President is currently the 2nd signer of our checks. Approvals will be attached to the invoice or purchase to ensure proper maintenance. We plan on reviewing our current policies and procedures and ensure it's updated along with Board approval.</p> |
| | | | <p>Finding 5. The CILSF did not maintain proper fiscal oversight. Recommendation: We recommend the CILSF enhance its procedures to ensure expenses funded through DVR's contract are allowable and appropriately reflected in budget reconciliations. We recommend the CILSF provide justifications to DVR for all differentials of line items in excess of 10%, and the Board Chair authorize all reimbursements to the Executive Director. We additionally recommend the CIL ensure employees accurately and consistently allocate work hours across funding sources and sign submitted timesheets. We further recommend DVR perform periodic reviews to ensure expenditures are allowable, allocable, reasonable, and necessary to the performance of the contract. We recommend DVR require justifications for line items differentials prior to providing payments.</p> | <p>DVR management response: Concur. DVR will review quarterly the budget reconciliations report and if any changes have occurred for line items, we will require written justifications prior to payment. CILSF management response: Now that we have surpassed the transitionary period and have new executive personnel onboard, we will document and keep any authorizations from the Board Chair regarding reimbursements to the Executive Director. The one in question was a reimbursement that was approved by the Board during the Executive Director search; however, documentation should have been provided and attached to the reimbursement. CILSF will provide justifications to DVR for all differentials in excess of 10%.</p> |

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| Office of the Inspector Report # A-1718-004 | 6/30/2018 | Division of Vocational Rehabilitation (DVR) Center for Independent Living of South Florida, Inc. (CILSF) | Finding 6. The CILSF did not submit documents timely. Recommendation: We recommend the CILSF submit the required documents by the contractually required due dates. We recommend DVR ensure the CILSF submits required documents timely and send reminders until they receive all reports. | Justifications will be provided in a detailed explanation from this point on. CILSF will maintain and update its timesheet system to ensure that employees are accurately and consistently allocating their work hours. We will provide training to staff as well as management to ensure that everyone understands the importance of allocating their work hours and how it should be done properly, on a timely basis. DVR management response: Concur. DVR will ensure CILSF submits documents in a timely manner and will provide reminders for required documents until CILSF complies. CILSF management response: CILSF has experienced a shift in management in the last 18 months. The agency will continue to make best efforts to respond with any information requested by DVR by requested deadlines. |
| Office of the Inspector General 18-Month Status Report # A-1516-010 | 3/8/2018 | Division of Vocational Rehabilitation (DVR) Vendor Background Screening Background screening (BGS) | Finding 1. DVR did not adequately screen or disqualify all required individuals. Recommendation: We recommend DVR enhance policies and procedures to ensure BGS Unit employees utilizing the Clearinghouse properly screen vendor employees in accordance with Florida Statutes. We recommend DVR require vendors to background screen all directors. We also recommend DVR include language in its vendor contracts to hold the vendors accountable for timely background screenings and providing DVR with updated lists of their employees. | Management response 03/08/18: We continue to include appropriate language in applicable contracts as they come up for amendment, renewal, or redraft. We moved employment services from a contract to a fee-for-service model. Employment service vendors must adhere to the requirements of both a formal application and the VR Employment Services Provider Manual. |

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| Office of the Inspector General 18-Month Status Report # A-1516-010 | 3/8/2018 | Division of Vocational Rehabilitation (DVR) Vendor Background Screening | Finding 2. The IL Program did not screen all required individuals or ensure vendor employee screenings occurred in a timely manner, allowing employees to have contact with DVR clients before being cleared. | Management response 03/08/18: CIL screenings continue to be performed by the VReg BGS Unit. Execution of new CIL agreements has been delayed. We expect to execute new contracts July 1, 2018. |
| | | Background screening (BGS) | Recommendation: We recommend DVR require vendors to background screen interpreters. We also recommend DVR include language in its vendor contracts to hold the CILs accountable for timely initiating the background screening process and providing DVR with updated lists of their employees. | |
| | | Independent Living (IL) Center for Independent Living (CIL) | We further recommend DVR transfer responsibility for CIL background screenings to the BGS unit in order to ensure a more consistent background screening process or develop policies and procedures specific to the IL Program to ensure background screenings are conducted according to statutory requirements. | Anticipated completion: 07/01/18 Contact: Cathy McEachron 245-3274 |
| | | | The Office of Inspector General followed up on the progress of corrective action for this report for 21 months following its issuance. At this time, two deficiencies identified in the original report have not been resolved through corrective action. DVR management has signed the acceptance or risk memo and acknowledged the risk of further non-compliance with statutory requirements and the responsibility for ensuring that corrective actions are completed. Contact: Tiffany Hurst, Audit Director 245-0403 | |

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service): EDUCATION/DIVISION OF VOCATIONAL REHABILITATION

Agency Budget Officer/OPB Analyst Name: Roger Godwin

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.

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| | Program or Service (Budget Entity Codes) |
| Action | 48160000 |

1. GENERAL

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| 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) | Yes | | | | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDC) | Yes | | | | |

AUDITS:

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| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | Yes | | | | |
| 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) | Yes | | | | |
| 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)

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| 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? | Yes | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | Yes | | | | |
| 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? | Yes Yes | | | | |

3. EXHIBIT B (EXBR, EXB)

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| 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 | | | | |
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AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48160000 | | | | |
| 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") | Yes Yes | | | | |
| 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") | Yes | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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? | Yes | | | | |
| 4.2 | Is the program component code and title used correct? | Yes | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | Yes | | | | |
| 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") | Yes | | | | |
| 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.) | Yes | | | | |
| 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.) | Yes | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48160000 | | | | |
| 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? | Yes | | | | |
| 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.) | Yes | | | | |
| 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.) | Yes | | | | |
| 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? | Yes | | | | |
| 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? | Yes Yes | | | | |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.) | N/A N/A | | | | |
| 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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Yes | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Yes | | | | |
| 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? | Yes Yes | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48160000 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | Yes | | | | |
| 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 | | | | |
| 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 | | | | |
| 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)? | Yes | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Yes | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Yes | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | Yes | | | | |
| 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)) | Yes | | | | |
| 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. | | | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
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| | | 48160000 | | | | |
| 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? | Yes | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | Yes | | | | |
| 8.3 | Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IC, and Reconciliation to Trial Balance)? | Yes | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Yes, for trust funds 2176 and 2380 | | | | |
| 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)? | Yes | | | | |
| 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? | Yes | | | | |
| 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 | | | | |
| 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 | | | | |
| 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)? | Yes Yes Yes | | | | |
| 8.10 | Are the statutory authority references correct? | Yes | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48160000 | | | | |
| 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.) | Yes, for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Yes, for trust funds 2178, 2543, 2555 and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Yes | | | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Yes Yes | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Yes | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Yes | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | Yes | | | | |
| 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? | Yes Yes | | | | |
| 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? | Yes Yes Yes | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Yes, for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | Yes | | | | |
| 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.) | Yes | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Yes | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Yes | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | Yes | | | | |
| 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? | Yes | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Yes, for FSDB only. | | | | |
| 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? | Yes | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Yes | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48160000 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | Yes | | | | |
| 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") | Yes Yes | | | | |
| 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) | Yes | | | | |
| 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? | Yes | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | Yes | | | | |
| 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.) | Yes | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Yes | | | | |
| TIP | If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV. | | | | | |
| 12. SCHEDULE VIIIA (EADR, SC8A) | | | | | | |

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| | | Program or Service (Budget Entity Codes) | | | |
| Action | | 48160000 | | | |
| 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. | Yes Yes | | | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | |
| 14. SCHEDULE VIIIB-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.) | N/A | | | |
| 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 VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal) | | | | | |
| 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 | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | |
| AUDIT: | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | Yes | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | Yes | | | |
| 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) | Yes | | | |
| 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") | Yes | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48160000 | | | | |
| 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") | Yes | | | | |
| 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.) | Yes | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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? | Yes | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Yes | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Yes | | | | |
| 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 ? | Yes Yes | | | | |
| 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) ? | Yes | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60, F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s. 216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements. | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |

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| | Program or Service (Budget Entity Codes) | | | | |
| Action | 48160000 | | | | |
| <p>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.</p> | | | | | |
| 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? | Yes | | | | |



FLORIDA DEPARTMENT OF
EDUCATION
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2019-20
Blind Services
Exhibits or Schedules



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2019-20
Blind Services
Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | EDUCATIONAL ENHANCEMENT TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2178 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|--------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 195.99 | (A) | - | 195.99 |
| ADD: Other Cash (See Instructions) | 4,737.87 | (B) | - | 4,737.87 |
| ADD: Investments | 369,941,712.18 | (C) | - | 369,941,712.18 |
| ADD: Outstanding Accounts Receivable | 84,742,425.76 | (D) | - | 84,742,425.76 |
| ADD: _____ | - | (E) | - | - |
| Total Cash plus Accounts Receivable | 454,689,071.80 | (F) | - | 454,689,071.80 |
| LESS Allowances for Uncollectibles | 3,080.63 | (G) | - | 3,080.63 |
| LESS Approved "A" Certified Forwards | 16,639,384.69 | (H) | - | 16,639,384.69 |
| Approved "B" Certified Forwards | - | (H) | - | - |
| Approved "FCO" Certified Forwards | - | (H) | - | - |
| LESS: Other Accounts Payable (Nonoperating) | 43,686.07 | (I) | - | 43,686.07 |
| LESS: _____ | - | (J) | - | - |
| Unreserved Fund Balance, 07/01/18 | 438,002,920.41 | (K) | - | 438,002,920.41 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: EDUCATIONAL ENHANCEMENT TRUST FUND
LAS/PBS Fund Number: 2178

BEGINNING TRIAL BALANCE:

| | |
|--|--------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 438,247,393.46 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
| Approved FCO Certified Forward per LAS/PBS | 0.00 (D) |
| A/P not C/F-Operating Categories | (D) |
| OTHER LOANS AND NOTES RECEIVABLE, LONG TERM | (460,825.57) (D) |
| ALLOWANCE FOR UNCOLLECTIBLES, LONG TERM | 216,352.52 (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 438,002,920.41 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 438,002,920.41 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | GRANTS & DONATIONS TRUST FUND |
| LAS/PBS Fund Number: | 48180000 BLIND SERVICES |
| | 2339 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 663 | (A) | | 663 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | 4,889 | (D) | | 4,889 |
| ADD: Anticipated Revenues | 32,147 | (E) | | 32,147 |
| Total Cash plus Accounts Receivable | 37,699 | (F) | - | 37,699 |
| LESS: Allowances for Uncollectibles | 4,889 | (G) | | 4,889 |
| LESS: Approved "A" Certified Forwards | - | (H) | | - |
| Approved "B" Certified Forwards | 32,811 | (H) | | 32,811 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | - |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | (0) | (K) | - | (0)** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|--|---------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | GRANTS & DONATIONS TRUST FUND | |
| LAS/PBS Fund Number: | 2339 | BE: 48180000 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|----------------------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="663"/> | (A) |
|--|----------------------------------|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|---------------------------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(32,811)"/> | (D) |
|---|---------------------------------------|-----|

| | | |
|--|----------------------|-----|
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|----------------------|-----|
| A/P not C/F-Operating Categories | <input type="text"/> | (D) |
|----------------------------------|----------------------|-----|

| | | |
|----------------------|-------------------------------------|-----|
| Anticipated Revenues | <input type="text" value="32,147"/> | (D) |
|----------------------|-------------------------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="(0)"/> | (E) |
|--|----------------------------------|-----|

| | | |
|--|----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="(0)"/> | (F) |
|--|----------------------------------|-----|

| | | |
|--------------------|----------------------------------|------|
| DIFFERENCE: | <input type="text" value="(0)"/> | (G)* |
|--------------------|----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 -18

Department: Office of the Inspector General

Chief Internal Auditor: Tiffany Hurst

Budget Entity: Division of Blind Services

Phone Number: 850-245-9422

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|--|-------------------------|--|--|--|----------------------|
| Office of the Inspector General 12-Month Status Report # F-1718-005 on Report # A-1516-020 | 10/25/2017 | Division of Blind Services (DBS) District Allocations | <p>Finding 1: DBS provided services prior to the completion of IPE's and services did not match the IPE in effect. Recommendation: WE recommend that DBS monitor the districts to ensure IPEs are properly completed prior to providing services to clients and ensure the services provided match the current IPE on file. We also recommend DBS identify the correct provider when providing services to the clients and amend the IPEs accordingly.</p> <p>Finding 2: Invoices and authorizations were not appropriately signed. Recommendation: We recommend DBS ensure all invoices and authorizations are properly signed in accordance with the VR and CP manual. W also recommend DBS ensure all districts are trained and aware of the approval requirements.</p> | <p>*DBS response October 25, 2017: Implementation of the revised QA Case Review Form #253 occurred July 1, 2017. *DBS supervisors and district administrators continue to conduct random desk reviews, and the program administrator collects and analyzes the data. Counselors are provided with feedback and may receive individual training as needed.</p> <p>*The IPE process was addressed via email and during the Annual VR training held October 9 - 13, 2017. *Affected policies and the VR program manual have been revised and are awaiting final review and approval. Anticipated Completion: 11/30/17 Robert Doyle</p> <p>DBS response October 25, 2017: *Implementation of the revised QA Case Review Form #253 occurred July 1, 2017. *Program Administrator collects and analyzes data on a quarterly basis. *Data collected is used to prioritize onsite training and monitoring.</p> | |

| | | | | |
|---|-------------------|--|---|---|
| <p>Office of the Inspector General 12-Month Status Report # F-1718-005 on Report # A-1516-020</p> | <p>10/25/2017</p> | <p>Division of Blind Services (DBS) District Allocations</p> | <p>Finding 3. Maintenance requests did not include the required needs assessments and request forms. Recommendation: We recommend DBS ensure all required maintenance forms and needs assessments are completed in accordance with the CFR and VR manual. We also recommend DBS reiterate the needs assessment requirements to the districts.</p> | <p>*Affected policies, the VR program manual and the Children's program manual have been revised and are awaiting final approval. *The invoice process was addressed during the Annual VR training held October 9-13, 2017.</p> <p>DBS response October 25, 2017: *The #264 Maintenance Authorization Procedure Checklist and review process, which includes a section on maintenance requests, was created and was implemented July 1, 2017.</p> <p>*Data collected from case reviews and authorization reviews will be used to prioritize onsite reviews for districts. *This data will also be used to focus training on specified areas included under "Fiscal Management and Authorizations" during the Annual VR training October 9-13, 2017. Staff was also informed on the maintenance process via email.</p> |
|---|-------------------|--|---|---|

| | | | | |
|---|-------------------|--|--|--|
| <p>Office of the Inspector General 12-Month Status Report # F-1718-005 on Report # A-1516-020</p> | <p>10/25/2017</p> | <p>Division of Blind Services (DBS) District Allocations</p> | <p>Finding 4. Maintenance payments were used for unallowable services and were paid to clients instead of vendors. Recommendation: We recommend that the department strengthen their controls and monitoring of maintenance payments to ensure payments are only made for allowable services and paid directly to vendors when possible.</p> | <p>DBS response October 25, 2017: *The #264 Maintenance Authorization Procedure Checklist and review process, which includes a section on maintenance requests, was created and was implemented July 1, 2017. *Data collected from case reviews and authorization reviews will be used to prioritize onsite reviews for districts. *This data will also be used to focus training on specified areas included under "Fiscal Management and Authorizations" during the Annual VR training October 9-13, 2017. Staff was also informed on the maintenance process via email.</p> |
| | | | <p>Finding 5. Equipment forms were not completed and signed when the client received assistive technology. Recommendation: We recommend DBS ensure the Client Equipment Inventory and Receipt Form #108 is completed and signed by all parties when the client receives assistive technology or when DBS reclaims possession in accordance with the manual. We also recommend that DBS include the equipment threshold amount in the policies and procedures for equipment form 108.</p> | <p>DBS response October 25, 2017: *The #264 Maintenance Authorization Procedure Checklist and review process, which includes a section on maintenance requests, was created and was implemented July 1, 2017. *Data collected from case reviews and authorization reviews will be used to prioritize onsite reviews for districts. *Provided overview to staff on statewide call 4/13/2017. Emailed memos to staff on 4/17/2017; *This data will also be used to focus training on specific areas included under "Fiscal Management and Authorizations" during the Annual VR training held October 9-13, 2017. *Affected policy #6.07 and the VR program manual have been revised are pending final review and approval.</p> |

| | | | | | |
|---|------------|--|---|--|---|
| Office of the Inspector General 12-Month Status Report # F-1718- 005 On Report # A-1516-020 | 10/25/2017 | Division of Blind Services (DBS) District Allocations | Finding 6. Payments did not include sufficient documentation to support the authorizations and payment requests. Recommendation: We recommend DBS strengthen their policies and procedures to include requirements for supporting documentation in the form of invoices and/or receipts for maintenance payments. In addition, we recommend DBS rehabilitation specialists document their verification of client receipt of services in AWARE. We further recommend DBS perform periodic reviews to ensure payments are made for allowable and necessary services and contain the appropriate documentation. | DBS response October 25, 2017: *The #264 Maintenance Authorization Procedure Checklist and review process, which includes a section on maintenance requests, was created and was implemented July 1, 2017. *Data collected from case reviews and authorization reviews will be used to prioritize onsite reviews for districts. *Provided overview to staff on statewide call 4/13/2017. Emailed memos to staff on 4/17/2017; *This data will also be used to focus training on specific areas included under "Fiscal Management and Authorizations" during the Annual VR training held October 9-13, 2017. *Affected policy #6.07 and the VR program manual have been revised are pending final review and approval. | Completion date: 11/03/2017 Contact: Robert Doyle |
| Office of the Inspector General 18-Month Status Report # F-1718-005 on Report # A-1516-020 | 4/25/2018 | Division of Blind Services (DBS) District Allocations | Finding 1. DBS provided services prior to the completion of IPE's and services did not match the IPE in effect. Recommendation: WE recommend that DBS monitor the districts to ensure IPEs are properly completed prior to providing services to clients and ensure the services provided match the current IPE on file. We also recommend DBS identify the correct provider when providing services to the clients and amend the IPEs accordingly. | DBS response April 25, 2018: Initial trainings have been conducted. Additional trainings will be provided on an ongoing basis as needed. Policy 2.14, IPE Development has been updated and approved | |

| | | | | |
|---|------------------|--|---|---|
| <p>Office of the Inspector General 18-Month Status Report # F-1718-005 on Report # A-1516-020</p> | <p>4/25/2018</p> | <p>Division of Blind Services (DBS) District Allocations</p> | <p>Finding 2: Invoices and authorizations were not appropriately signed. Recommendation: We recommend DBS ensure all invoices and authorizations are properly signed in accordance with the VR and CP manual. We also recommend DBS ensure all districts are trained and aware of the approval requirements.</p> | <p>DBS response April 25, 2018: DBS identified the need for a full-time position to address quality assurance and quality control during a reorganization process. Case reviews revealed several districts in need of an onsite review and technical assistance. The QA/QC staff will visit three districts in round one (Districts 2, 9, and 10). Round two of onsite reviews will include Districts 3, 6, and 11. Round three will include Districts 1, 5, 7, and 12.</p> |
| | | | <p>Finding 3. Maintenance requests did not include the required needs assessments and request forms. Recommendation: We recommend DBS ensure all required maintenance forms and needs assessments are completed in accordance with the CFR and VR manual. We also recommend DBS reiterate the needs assessment requirements to the districts.</p> | <p>DBS response April 25, 2018: DBS uses the Maintenance Authorization Procedure Checklist Form #264 to ensure maintenance requests include needs assessments and request forms. Case Reviews are conducted to ensure needs assessments are applied to the maintenance services and documentation is scanned in AWARE. Staff received training on this process during the Annual VR Training held on October 9-13, 2017.</p> |
| | | | <p>Finding 4. Maintenance payments were used for unallowable services and were paid to clients instead of vendors. Recommendation: We recommend that the department strengthen their controls and monitoring of maintenance payments to ensure payments are only made for allowable services and paid directly to vendors when possible.</p> | <p>DBS response April 25, 2018: DBS revised the Form #264, Maintenance Authorization Procedure Checklist to ensure supervisory review and approval of maintenance services. Staff are instructed to pay vendors directly for maintenance and this procedure is reinforced by the state office. Case Reviews are conducted to ensure needs assessments are applied to the maintenance services and documentation is scanned in AWARE.</p> |

| | | | | |
|---|-----------|---|---|---|
| Office of the Inspector General 18-Month Status Report # F-1718-005 on Report # A-1516-020 | 4/25/2018 | Division of Blind Services (DBS) District Allocations | | Staff received training on this process during the Annual VR Training held on October 9-13, 2017. Note: Copies of the agenda and training materials were provided to the OIG with DBS' October 2017 update. |
| Office of the Inspector General Report # A-1718-009 | 6/15/2018 | Division of Blind Services (DBS) Social Security Reimbursement (SSR) Program Social Security Administration (SSA) Social Security Disability Insurance(SSDI) Substantial Gainful Activity (SGA) | Finding 1. DBS did not submit all eligible claims to SSA for Reimbursement. Recommendation: We recommend that DBS send all potentially eligible cases to SSA for reimbursement. We recommend sending claims to SSA for all cases in which the client has met SGA and is eligible for SSI SSDI without a suspension or termination date. We additionally recommend moving cases to the SSRA application after the completion of the individualized plan for employment, rather than after case closure from AWARE, to ensure the system identifies all potential wage earnings for employment gained during the period DBS provided services. | DBS Management response: Concur. Though all claims identified by the SSRA database generated in the daily email were filed and sent requesting reimbursement from the Social Security Administration, Florida DBS concurs that this process was not capturing all the potentially eligible claims. Many of the issues detailed in IG Report #A-1718-009 had previously been recognized by Florida DBS staff. In response, in May 2017 Florida DBS began exploring the replacement of the in-house Social Security Reimbursement Application (SSRA). Shortly thereafter, after a series of demos and discussions with Morrow Consulting, LLC, Florida DBS decided to purchase and implement the Vocational Rehabilitation Ticket to Work/Reimbursement Tracker (TRACKER), an application that is already in use (or currently being installed) by 40 VR agencies. Florida DBS began processing VR Reimbursement Claims via TRACKER as of February 8, 2018, and as of May 24, 2018 approximately \$838,000 in claims processed through TRACKER has been approved for reimbursement by SSA. |

Office of the
Inspector General
Report #
A-1718-009

6/15/2018

Division of Blind
Services
(DBS)
Social Security
Reimbursement (SSR)
Program

In regards to the listed recommendations, TRACKER connects to our AWARE case management system and to external data sources like Unemployment Insurance (UI) wage records and the State Verification and Exchange System (SVES). This information is used to determine when cases have met the requirements for Reimbursement payments and when they should be submitted via the SSA Portal.

A weekly process copies case information from AWARE to TRACKER after the completion of the individualized plan for employment (IPE). This weekly process also updates expenditure information for each case in TRACKER. Pending approval from the Social Security Administration Office of Information Security to import and utilize SVES data in TRACKER, Florida DBS is currently submitting all VR Reimbursement claims that have met SGA without taking into consideration SSI or SSDI benefits. Upon receiving approval to utilize SVES data in TRACKER, Florida DBS will make the determination on whether to continue submitting all VR Reimbursement claims based only on the achievement of SGA or whether to also consider SSI and SSDI benefit information. TRACKER currently tracks cases for a period of 8 years, unlike SSRA which would prematurely 'expire' cases when certain milestones were not met.

| | | | | |
|--|-----------|--|--|---|
| Office of the Inspector General Report # A-1718-009 | 6/15/2018 | Division of Blind Services (DBS) Social Security Reimbursement (SSR) Program Social Security Administration (SSA) | Finding 2. DBS did not receive any reimbursement payments during Federal Fiscal year 2016-2017. Recommendation: We recommend DBS ensure all potential y eligible claims are submitted to SSA for reimbursement in a timely manner. If difficulties in submitting claims occur, DBS should immediately contact SSA, document the communication and resolution, and resubmit the | DBS Management response: Concur. Though all claims identified by the SSRA database generated in the daily email were filed and sent requesting reimbursement from the Social Security Administration, FDBS concurrs that this process was not capturing all the potentially eligible claims. According to SSA Vocational Rehabilitation monthly calls, SSA was only accepting individual cases through the portal access point, which has not functioning properly in the SSA portal as of the initial go live date in Fall 2016. Though SSA stated that paper copies of request for reimbursements would not be accepted, FDBS had no other choice but to submit paper copies due to the non-functioning online portal for individual case entry. During the time period of this audit, FDBS was not able to produce batch formatting for submission due to the constraints with As a result of SSA no longer accepting paper copies, several states that were not able to submit via batch processing, were not able to apply for cost reimbursement. This led FDBS to the implementation of the new Reimbursement TRACKER system. Tracker provides a user-friendly interface that guides the user through the complex tasks involved in processing a VR Reimbursement claim. |
|--|-----------|--|--|---|

| | | | |
|--|-----------|---|--|
| Office of the Inspector General Report # A-1718-009 | 6/15/2018 | Division of Blind Services(DBS) Social Security Reimbursement (SSR) Program | <p>It provides feedback, like when processing was last done and when it should be performed next. It displays how many claims are outstanding and how long they have been outstanding. The system's payment processing algorithms pick out all the claims that have met the requirements for Reimbursement and exclude those that have been submitted in the past or are not eligible for a variety of reasons.</p> <p>It also applies warnings to claims that are at higher risk of being rejected allowing you to quickly determine which cases to submit or reject during the claim verification process. All claims to be submitted to SSA for reimbursement are loaded to a batch file which can then be uploaded for processing via the SSA Portal.</p> <p>Florida DBS is encouraged to contact the VR Helpdesk via email for any difficulties in submitting claims electronically via the SSA Portal. All applicable correspondence with the VR Helpdesk can be copied and documented as a NOTE on the CLAIMS DETAILS TAB in TRACKER. Since the implementation of TRACKER, a total of six (6) claims initially denied by SSA were filed for Reconsideration via the VR Helpdesk. All six (6) claims were subsequently approved for payment in the amount of \$120,975.23.</p> |
|--|-----------|---|--|

| | | | | |
|--|-----------|---|--|---|
| Office of the Inspector General Report # A-1718-009 | 6/15/2018 | Division of Blind Services (DBS) Social Security Reimbursement (SSR) Program Social Security Administration (SSA) | Finding 3.DBs submitted reimbursement claims after the submission deadline and did not effectively track claim submissions for reimbursement payment. Recommendation: We recommend DBS enhance its tracking of all outstanding submissions and ensure the SSA system and the internal tracking spreadsheets align. We additionally recommend DBS retain all SSA determination letters and track the status of submissions in the reimbursement program, to ensure all staff are aware of the current claim status and DBS files or resubmits claims in a timely manner. | DBS Management response: Concur. Per SSA’s communication with FDDBS, SSA only communicates results of requests for reimbursement by postal mail. All mail received by the FDDBS was retained and provided to auditors, however SSA only provided mailed documentation to FDDBS on 61% of the reimbursement requests. When the system indicated that a batch of applications was due to be submitted, FDDBS completed the batch within 2 business days of notification. In many cases, the SSA Reimbursement team did not process the cases timely which resulted in a “submission past the deadline” notification. Paper resubmissions to SSA were completed when notified that a claim was denied. TRACKER includes the ability to generate various reports including REIMBURSEMENT REQUEST, RESPONSE and STATUS Reports to allow tracking of the following information: <ul style="list-style-type: none"> • All reimbursement requests submitted electronically via the SSA Portal during the specified time frame. • The submission date of each reimbursement request. • Whether or not a response was received from SSA. |
|--|-----------|---|--|---|

| | | | | |
|--|-----------|---|--|--|
| Office of the Inspector General Report # A-1718-009 | 6/15/2018 | Division of Blind Services (DBS) Social Security Reimbursement (SSR) Program | | <ul style="list-style-type: none"> • If a response was received, the response date and whether the claim was accepted or rejected. • The amount requested for reimbursement. • The amount approved for reimbursement. • The Action Code and Description for each response. <p>In addition, the SSA Portal includes the following functionality:</p> <ul style="list-style-type: none"> • Upload of claim files to SSA • View all Pending VR Payments • View VR Payments Already Made • Check status of all files uploaded to SSA via the Portal and download the results to import into TRACKER. <p>All SSA Determination Letters issued since the implementation of TRACKER are scanned to PDF and uploaded to a designated folder on the TRACKER server. In addition, hard copies of the letters are filed. Florida DBS also plans to scan to PDF and store all SSA Determination Letters and correspondence which were issued prior to TRACKER.</p> |
|--|-----------|---|--|--|

Fiscal Year 2019-20 LBR Technical Review Checklist

| |
|---|
| Department/Budget Entity (Service): Education/Blind Services, Division of |
| Agency Budget Officer/OPB Analyst Name: Alicia Bevis |

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 | 48180000 | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|---|---------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48180000 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48180000 | | | | |
| <p>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.</p> | | | | | | |
| 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 | | | | |
| <p>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.</p> | | | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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,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,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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A,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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48180000 | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48180000 | | | | |
| 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y for 2176 and 2380 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | 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 for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y for 2178,2543,2555, and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48180000 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y for FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48180000 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (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 | | | | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 14. SCHEDULE VIIIB-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.) | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48180000 | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |

| | | | | | |
|--------|--|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 48180000 | | | | |

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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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,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 | | | | |

AUDITS - GENERAL INFORMATION

TIP Review *Section 6: Audits* of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.

TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)

| | | | | | | |
|------------|---|--|--|--|--|--|
| 18.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include: " is interpreted to mean "in lieu of" the CIP requirements | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |
| TIP | Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | |

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 | | | | |
|------|---|---|--|--|--|--|



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2019-20

Private Colleges and Universities
Exhibits or Schedules



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2019-20

Private Colleges and Universities
Schedule I Series

Fiscal Year 2019-20 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): Education/Private Colleges |
| Agency Budget Officer/OPB Analyst Name: Alicia Bevis |

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 | 48190000 | | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|---|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |

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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|---|-------------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48190000 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---|---|--|--|--|--|
| Action | | 48190000 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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, 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, 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. | N/A | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A, N/A | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48190000 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|--|--|--|--|--|
| Action | | 48190000 | | | |
| 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 | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y, for 2176 and 2380 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------|--|--|--|--|--|--|
| Action | | 48190000 | | | | |
| 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, for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y, for 2178, 2543, 2555 and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y, for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48190000 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (EADR, SC8A) | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48190000 | | | | |
| 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 | | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 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.) | N/A | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|---|--|--|--|--|
| Action | | 48190000 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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, 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 | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |

| | | | | |
|---|---|---|--|--|
| | Program or Service (Budget Entity Codes) | | | |
| Action | 48190000 | | | |
| <p>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.</p> | | | | |
| 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 | | |



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2019-20

Student Financial Aid Program

State

Exhibits or Schedules



FLORIDA DEPARTMENT OF
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2019-20

Student Financial Aid Program

State

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | EDUCATIONAL ENHANCEMENT TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2178 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|--------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 195.99 | (A) | - | 195.99 |
| ADD: Other Cash (See Instructions) | 4,737.87 | (B) | - | 4,737.87 |
| ADD: Investments | 369,941,712.18 | (C) | - | 369,941,712.18 |
| ADD: Outstanding Accounts Receivable | 84,742,425.76 | (D) | - | 84,742,425.76 |
| ADD: _____ | - | (E) | - | - |
| Total Cash plus Accounts Receivable | 454,689,071.80 | (F) | - | 454,689,071.80 |
| LESS Allowances for Uncollectibles | 3,080.63 | (G) | - | 3,080.63 |
| LESS Approved "A" Certified Forwards | 16,639,384.69 | (H) | - | 16,639,384.69 |
| Approved "B" Certified Forwards | - | (H) | - | - |
| Approved "FCO" Certified Forwards | - | (H) | - | - |
| LESS: Other Accounts Payable (Nonoperating) | 43,686.07 | (I) | - | 43,686.07 |
| LESS: _____ | - | (J) | - | - |
| Unreserved Fund Balance, 07/01/18 | 438,002,920.41 | (K) | - | 438,002,920.41 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: EDUCATIONAL ENHANCEMENT TRUST FUND
LAS/PBS Fund Number: 2178

BEGINNING TRIAL BALANCE:

| | |
|--|--------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 438,247,393.46 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
| Approved FCO Certified Forward per LAS/PBS | 0.00 (D) |
| A/P not C/F-Operating Categories | (D) |
| OTHER LOANS AND NOTES RECEIVABLE, LONG TERM | (460,825.57) (D) |
| ALLOWANCE FOR UNCOLLECTIBLES, LONG TERM | 216,352.52 (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 438,002,920.41 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 438,002,920.41 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

| | |
|-----------------------------|--|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | STATE STUDENT FIN ASSISTANCE TRUST FUND |
| Budget Entity: | DEPARTMENT |
| LAS/PBS Fund Number: | 2240 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | - | (A) | | - |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | 216,578.63 | (C) | | 216,578.63 |
| ADD: Outstanding Accounts Receivable | 69,355.82 | (D) | | 69,355.82 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 285,934.45 | (F) | - | 285,934.45 |
| LESS Allowances for Uncollectibles | 69,008.19 | (G) | | 69,008.19 |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 21.87 | (I) | | 21.87 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 216,904.39 | (K) | - | 216,904.39 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|--|-------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | STATE STUDENT FIN ASSISTANCE TRUST FUND | |
| LAS/PBS Fund Number: | 2240 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|---|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="216,904.39"/> | (A) |
|--|---|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|----------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text"/> | (D) |
|---|----------------------|-----|

| | | |
|--|----------------------|-----|
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|----------------------|-----|
| A/P not C/F-Operating Categories | <input type="text"/> | (D) |
|----------------------------------|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|---|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="216,904.39"/> | (E) |
|--|---|-----|

| | | |
|--|---|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="216,904.39"/> | (F) |
|--|---|-----|

| | | |
|--------------------|-----------------------------------|------|
| DIFFERENCE: | <input type="text" value="0.00"/> | (G)* |
|--------------------|-----------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | NURSING STUDENT LOAN FORGIVENESS TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2505 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | - | (A) | | - |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | 1,225,531.70 | (C) | | 1,225,531.70 |
| ADD: Outstanding Accounts Receivable | 1,739.92 | (D) | | 1,739.92 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 1,227,271.62 | (F) | - | 1,227,271.62 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 109.45 | (I) | | 109.45 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 1,227,162.17 | (K) | - | 1,227,162.17 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | |
|-----------------------------|--|
| Department Title: | <u>48 EDUCATION</u> |
| Trust Fund Title: | <u>NURSING STUDENT LOAN FORGIVENESS TRUST FUND</u> |
| LAS/PBS Fund Number: | <u>2505</u> <u>DEPARTMENT</u> |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017-2018

Department: Office of the Inspector General

Chief Internal Auditor: Tiffany Hurst

Budget Entity: Student Financial Aid Program State Sc

Phone Number: 850-245-9422

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|---|-------------------------|--|--|--|----------------------|
| Office of the Inspector General 6-Month Status Report # F-1718-006 on Report # A-1516-029 | 10/25/2017 | Department of Education (DOE) Office of Student Financial Assistance (OSFA) State Scholarships | Finding 1. OSFA did not ensure disbursed refunds were returned in a timely manner. Recommendation: We recommend that OSFA enhance their policies and procedures to include required timeframes for the remittance of funds for courses dropped by a student or courses from which a student has withdrawn when disbursements are made after the end of the semester. We additionally recommend OSFA utilize its statutory authority to withhold payment if an institution fails to make refunds in a timely manner. | Management response 10/25/17: Presented at the May 2017 FASFAA conference and discussed reporting deadlines, purpose of courtesy reminders, new consequences for failing to make deadlines, and reviewed the reconciliation process. OSFA put a new trigger letter into production that will be sent out to institutions 10 days prior to their 30 day deadline to send in funds related to drop withdrawn hours. In memos (FRAG, ABLE, FSAG), institutions were reminded of their deadlines to return funds. In memos (FRAG), for administration of 2017-18 funds, inserted language about providing future funds on a reimbursement basis if failed to return funds within their 60 day deadline. Drafted proposed statutory language changes outlining consequences for failing to return funds timely. OSFA is in the process of updating the State Scholarship & Grant Programs Policy Manual. OSFA is in the process of reviewing what changes need to occur in SSFAD to best assist institutions in meeting their reconciliation deadlines. | |

| | | | | |
|--|-------------------|--|---|--|
| <p>Office of the Inspector General 6-Month Status Report # F-1718-006 on Report # A-1516-029</p> | <p>10/25/2017</p> | <p>Department of Education (DOE) Office of Student Financial Assistance (OSFA) State Scholarships</p> | <p>Finding 2. OSFA did not ensure undisbursed advances were returned in a timely manner. Recommendation: We recommend that OSFA enhance their policies and procedures to include required timeframes for the remittance of funds for undisbursed advances when disbursements are made after the drop and add period. We additionally recommend OSFA utilize its statutory authority to withhold payment if an institution fails to make refunds in a timely manner.</p> | <p>Management response 10/25/17: Presented at the May 2017 FASFAA Conference and discussed reporting deadlines, purpose of courtesy reminders, new consequences for failing to make deadlines, and reviewed the reconciliation process. Completed. OSFA put a new trigger letter into production that will be sent out to institutions 10 days prior to their 30 day deadline to send in funds related to drop withdrawn hours. Completed. In memos, (FRAG, ABLE, FSAG), institutions were reminded of their deadlines to return funds. In memos (FRAG), for administration of 2017-18 funds, inserted language about providing future funds on a reimbursement basis if failed to return funds within their 60 day deadline. Completed. Drafted proposed statutory language changes outlining consequences for failing to return funds timely. In process. OSFA is in the process of updating the State Scholarship & Grant Programs Policy Manual. OSFA is in the process of reviewing what changes need to occur in SSFAD to best assist institutions in meeting their reconciliation deadlines. SSFAD changes - July 1, 2018 Changes will be incorporated as the system is converted from Classic ASP to .NET environment. Contact: Levis Hughes</p> |
|--|-------------------|--|---|--|

| | | | | |
|---|------------------|--|--|---|
| <p>Office of the Inspector General 12-Month Status Report # F-1718-019 on Report # A-1516-029</p> | <p>4/25/2018</p> | <p>Department of Education (DOE) Office of Student Financial Assistance (OSFA) State Scholarships</p> | <p>Finding 1. OSFA did not ensure disbursed refunds were returned in a timely manner. Recommendation: We recommend that OSFA enhance their policies and procedures to include required timeframes for the remittance of funds for courses dropped by a student or courses from which a student has withdrawn when disbursements are made after the end of the semester. We additionally recommend OSFA utilize its statutory authority to withhold payment if an institution fails to make refunds in a timely manner.</p> | <p>Management response April 25, 2018: OSFA has taken varied steps, without comprehensive statutory authority, to ensure that institutions are aware of the deadlines to return funds. OSFA will pursue changes to include system changes as well as additional staff procedures that will both enhance current processes and add processes not previously developed. OSFA will also seek statutory authority, as best determined by DOE senior management and OSFA staff, which will target the institution and not harm the student. Anticipated completion: 4/1/2018 Status as of April 25, 2018: Presented at the May 2017 FASFAA Conference and discussed reporting deadlines, purpose of courtesy reminders, new consequences for failing to make deadlines, and reviewed the reconciliation process. Completed. OSFA put a new trigger letter into production that will be sent out to institutions 10 days prior to their 30 day deadline to send in funds related to drop withdrawn hours. Completed. In memos, (FRAG, ABLE, FSAG), institutions were reminded of their deadlines to return funds. In memos (FRAG), for administration of 2017-18 funds, inserted language about providing future funds on a reimbursement basis if failed to return funds within their 60 day deadline.</p> |
|---|------------------|--|--|---|

| | | | | |
|--|-----------|--|--|---|
| Office of the Inspector General 12-Month Status Report # F-1718-019 on Report # A-1516-029 | 4/25/2018 | Department of Education (DOE) Office of Student Financial Assistance (OSFA) State Scholarships | Finding 2. OSFA did not ensure undisbursed advances were returned in a timely manner. Recommendation: We recommend that OSFA enhance their policies and procedures to include required timeframes for the remittance of funds for undisbursed advances when disbursements are made after the drop and add period. We additionally recommend OSFA utilize its statutory authority to withhold payment if an institution fails to make refunds in a timely manner. | Management response: OSFA Drafted proposed statutory language changes outlining consequences for failing to return funds timely. In process. OSFA is in the process of updating the State Scholarship & Grant Programs Policy Manual. OSFA is in the process of reviewing what changes need to occur in SSFAD to best assist institutions in meeting their reconciliation deadlines. SSFAD changes - July 1, 2018 Changes will be incorporated as the system is converted from Classic ASP to .NET environment. Contact: Levis Hughes |
|--|-----------|--|--|---|

Office of Policy and Budget - July 2018

Fiscal Year 2019-20 LBR Technical Review Checklist

| |
|---|
| Department/Budget Entity (Service): Education/State Financial Aid - State |
| Agency Budget Officer/OPB Analyst Name: Alicia Bevis |

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 | 48200200 | | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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. | Y, Y | | | | |
|---|------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48200200 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---|---|--|--|--|--|
| Action | | 48200200 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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, 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, 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. | N/A | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A, N/A | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48200200 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|--|--|--|--|--|
| Action | | 48200200 | | | |
| 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 | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y, for 2176 and 2380 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48200200 | | | | |
| 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, for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y, for 2178, 2543, 2555 and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y, for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48200200 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (EADR, SC8A) | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48200200 | | | | |
| 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 | | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 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.) | N/A | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|---|--|--|--|--|
| Action | | 48200200 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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, 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 | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |

| | | | | | |
|---|---|--|--|--|--|
| | | Program or Service (Budget Entity Codes) | | | |
| Action | | 48200200 | | | |
| <p>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.</p> | | | | | |
| 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 | | | |



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2019-20

Student Financial Aid Program

Federal

Exhibits or Schedules



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2019-20

Student Financial Aid Program

Federal

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | FEDERAL GRANTS TRUST FUND |
| LAS/PBS Fund Number: | 48200300 - STUDENT FINANCIAL AID PROGRAM - FEDERAL 2261 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0 | (A) | | 0 |
| ADD: Other Cash (See Instructions) | 0 | (B) | | 0 |
| ADD: Investments | 0 | (C) | | 0 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 0 | (F) | 0 | 0 |
| LESS: Allowances for Uncollectibles | | (G) | | 0 |
| LESS: Approved "A" Certified Forwards | 0 | (H) | | 0 |
| Approved "B" Certified Forwards | 0 | (H) | | 0 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 0 | (I) | | 0 |
| LESS: _____ | | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | 0 | (K) | 0 | 0 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title:

48 EDUCATION

Trust Fund Title:

FEDERAL GRANTS TRUST FUND

LAS/PBS Fund Number:

2261

BE: 48200300

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds;
GLC 539XX for proprietary and fiduciary funds

(A)

Subtract Nonspendable Fund Balance (GLC 56XXX)

(B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description

(C)

SWFS Adjustment # and Description

(C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS

(D)

Approved FCO Certified Forward per LAS/PBS

(D)

A/P not C/F-Operating Categories

(D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE:

(E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)

(F)

DIFFERENCE:

(G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

| | |
|-----------------------------|--|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | STUDENT LOAN OPERATING TRUST FUND |
| Budget Entity: | DEPARTMENT |
| LAS/PBS Fund Number: | 2397 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,392 | (A) | | 1,392 |
| ADD: Other Cash (See Instructions) | | (B) | | 0 |
| ADD: Investments | 14,304,477 | (C) | | 14,304,477 |
| ADD: Outstanding Accounts Receivable | 1,066,674 | (D) | | 1,066,674 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 15,372,543 | (F) | 0 | 15,372,543 |
| LESS Allowances for Uncollectible | | (G) | | 0 |
| LESS Approved "A" Certified Forwards | 198,437 | (H) | | 198,437 |
| Approved "B" Certified Forwards | 457,874 | (H) | | 457,874 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 3,809 | (I) | | 3,809 |
| LESS: <u>Reserve-Default Prevention</u> | 2,282,639 | (J) | | 2,282,639 |
| Unreserved Fund Balance, 07/01/18 | 12,429,784 | (K) | 0 | 12,429,784 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|--|-------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | STUDENT LOAN OPERATING TRUST FUND | |
| LAS/PBS Fund Number: | 2397 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 15,155,686 | (A) |
|--|------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-----------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (457,874) | (D) |
|---|-----------|-----|

| | | |
|--|--|-----|
| Approved FCO Certified Forward per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--------|-----|
| A/P not C/F-Operating Categories | 14,611 | (D) |
|----------------------------------|--------|-----|

| | | |
|----------------------------|-------------|-----|
| Default Prevention Reserve | (2,282,639) | (D) |
|----------------------------|-------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | 12,429,784 | (E) |
|--|-------------------|------------|

| | | |
|--|-------------------|------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 12,429,784 | (F) |
|--|-------------------|------------|

| | | |
|--------------------|----------|-------------|
| DIFFERENCE: | 0 | (G)* |
|--------------------|----------|-------------|

***SHOULD EQUAL ZERO.**

Fiscal Year 2019-20 LBR Technical Review Checklist

| |
|---|
| Department/Budget Entity (Service): Education/State Financial Aid - Federal |
| Agency Budget Officer/OPB Analyst Name: Alicia Bevis |

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 | 48200300 | | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|---|-------------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48200300 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---|---|--|--|--|--|
| Action | | 48200300 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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, 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, 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. | N/A | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A, N/A | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48200300 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|--|--|--|--|--|
| Action | | 48200300 | | | |
| 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 | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y, for 2176 and 2380 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48200300 | | | | |
| 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, for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y, for 2178, 2543, 2555 and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y, for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48200300 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (EADR, SC8A) | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48200300 | | | | |
| 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 | | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 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.) | N/A | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|---|--|--|--|--|
| Action | | 48200300 | | | | |
| 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 | | | | |
| 16.6 | Has the agency provided the necessary standard (Record Type 5) for all activities which <u>shoudl</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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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, 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 | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |

| | | | | | |
|---|---|--|--|--|--|
| | | Program or Service (Budget Entity Codes) | | | |
| Action | | 48200300 | | | |
| <p>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.</p> | | | | | |
| 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 | | | |



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State Grants/K-12 Programs

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Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | EDUCATIONAL ENHANCEMENT TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2178 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|--------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 195.99 | (A) | | 195.99 |
| ADD: Other Cash (See Instructions) | 4,737.87 | (B) | | 4,737.87 |
| ADD: Investments | 369,941,712.18 | (C) | | 369,941,712.18 |
| ADD: Outstanding Accounts Receivable | 84,742,425.76 | (D) | | 84,742,425.76 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 454,689,071.80 | (F) | - | 454,689,071.80 |
| LESS Allowances for Uncollectibles | 3,080.63 | (G) | | 3,080.63 |
| LESS Approved "A" Certified Forwards | 16,639,384.69 | (H) | | 16,639,384.69 |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | - | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 43,686.07 | (I) | | 43,686.07 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 438,002,920.41 | (K) | - | 438,002,920.41 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: EDUCATIONAL ENHANCEMENT TRUST FUND
LAS/PBS Fund Number: 2178

BEGINNING TRIAL BALANCE:

| | |
|--|--------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 438,247,393.46 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
| Approved FCO Certified Forward per LAS/PBS | 0.00 (D) |
| A/P not C/F-Operating Categories | (D) |
| OTHER LOANS AND NOTES RECEIVABLE, LONG TERM | (460,825.57) (D) |
| ALLOWANCE FOR UNCOLLECTIBLES, LONG TERM | 216,352.52 (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 438,002,920.41 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 438,002,920.41 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | STATE SCHOOL TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2543 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|-------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,004,310.99 | (A) | | 1,004,310.99 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | 47,303,119.78 | (C) | | 47,303,119.78 |
| ADD: Outstanding Accounts Receivable | 220,195.00 | (D) | | 220,195.00 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 48,527,625.77 | (F) | - | 48,527,625.77 |
| LESS: Allowances for Uncollectibles | | (G) | | - |
| LESS: Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 14,122.63 | (I) | | 14,122.63 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 48,513,503.14 | (K) | - | 48,513,503.14 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|-------------------|
| Department Title: | Budget Period: 2019 - 2020 | |
| Trust Fund Title: | 48 EDUCATION | |
| LAS/PBS Fund Number: | STATE SCHOOL TRUST FUND | |
| | 2543 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

| | |
|--|---|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | <input type="text" value="(888,359,136.21)"/> (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | <input type="text"/> (C) |
| SWFS Adjustment # and Description | <input type="text"/> (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text"/> (D) |
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> (D) |
| A/P not C/F-Operating Categories | <input type="text"/> (D) |
| L T LIABILITY - UNCLAIMED PROPERTY ADVANCES | <input type="text" value="936,872,639.35"/> (D) |
| | <input type="text"/> (D) |
| | <input type="text"/> (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="48,513,503.14"/> (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="48,513,503.14"/> (F) |
| DIFFERENCE: | <input type="text" value="0.00"/> (G)* |

***SHOULD EQUAL ZERO.**

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service): Education / Florida Education Finance Program (FEFP)

Agency Budget Officer/OPB Analyst Name: Alicia Bevis

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 | 48250300 | | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|---|---------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48250300 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48250300 | | | | |
| <p>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.</p> | | | | | | |
| 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 | | | | |
| <p>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.</p> | | | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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,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,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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A,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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48250300 | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 7.17 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXC) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)? | N/A | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48250300 | | | | |
| 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y for 2176 and 2380 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | 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 for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y for 2178,2543,2555, and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48250300 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y for FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48250300 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (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 | | | | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 14. SCHEDULE VIIIB-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.) | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48250300 | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |

| | | | | |
|--------|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | |
| Action | 48250300 | | | |

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 | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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,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 | | | |

AUDITS - GENERAL INFORMATION

TIP Review *Section 6: Audits* of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.

TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)

| | | | | | |
|------------|---|--|--|--|--|
| 18.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include: " is interpreted to mean "in lieu of" the CIP requirements | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | |
| TIP | Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | |

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 | | | |
|------|---|---|--|--|--|



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

2019-20

State Grants/K-12 Programs

NON-FEFP

Exhibits or Schedules



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

2019-20

State Grants/K-12 Programs

NON-FEFP

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | ADMINISTRATIVE TRUST FUND |
| LAS/PBS Fund Number: | 48250400 STATE GRANTS/K-12 PROGRAM - NON FEFP |
| | 2021 (FSDB) |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 254,911.67 | (A) | | 254,911.67 |
| ADD: Other Cash (See Instructions) | - | (B) | | - |
| ADD: Investments | - | (C) | | - |
| ADD: Outstanding Accounts Receivable | 17,754.84 | (D) | | 17,754.84 |
| ADD: _____ | - | (E) | | - |
| Total Cash plus Accounts Receivable | 272,666.51 | (F) | - | 272,666.51 |
| LESS: Allowances for Uncollectibles | - | (G) | | - |
| LESS: Approved "A" Certified Forwards | - | (H) | | - |
| Approved "B" Certified Forwards | - | (H) | | - |
| Approved "FCO" Certified Forwards | - | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | - | (I) | | - |
| LESS: _____ | - | (J) | | - |
| Unreserved Fund Balance, 07/01/2018 | 272,666.51 | (K) | - | 272,666.51 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | |
|-----------------------------|----------------------------------|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | ADMINISTRATIVE TRUST FUND |
| LAS/PBS Fund Number: | 2021 (FSDB) BE 48250400 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/2018

| | | |
|--|-------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 268,663.09 | (A) |
|--|-------------------|-----|

| | | |
|---|----------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | - | (B) |
|---|----------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------|-----|
| SWFS Adjustment # and Description | - | (C) |
|-----------------------------------|----------|-----|

| | | |
|-----------------------------------|----------|-----|
| SWFS Adjustment # and Description | - | (C) |
|-----------------------------------|----------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|----------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | - | (D) |
|---|----------|-----|

| | | |
|--|----------|-----|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | - | (D) |
|--|----------|-----|

| | | |
|----------------------------------|----------|-----|
| A/P not C/F-Operating Categories | - | (D) |
|----------------------------------|----------|-----|

| | | |
|--|-----------------|-----|
| FSDB - Current Year Payables Not Certified | 4,003.42 | (D) |
|--|-----------------|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 272,666.51 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 272,666.51 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|----------|------|
| DIFFERENCE: | - | (G)* |
|--------------------|----------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | FEDERAL GRANTS TRUST FUND |
| LAS/PBS Fund Number: | 48250400 - STATE GRANTS/K12 PROGRAM - NON FEFP |
| | 2261 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 226,355.39 | (A) | | 226,355.39 |
| ADD: Other Cash (See Instructions) | - | (B) | | - |
| ADD: Investments | - | (C) | | - |
| ADD: Outstanding Accounts Receivable | 53,835.67 | (D) | | 53,835.67 |
| ADD: ANTICIPATED REVENUE | 281,212.52 | (E) | | 281,212.52 |
| Total Cash plus Accounts Receivable | 561,403.58 | (F) | - | 561,403.58 |
| LESS: Allowances for Uncollectibles | - | (G) | | - |
| LESS: Approved "A" Certified Forwards | 8,268.70 | (H) | | 8,268.70 |
| Approved "B" Certified Forwards | 281,212.52 | (H) | | 281,212.52 |
| Approved "FCO" Certified Forwards | - | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 16,873.31 | (I) | | 16,873.31 |
| LESS: _____ | - | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 255,049.05 | (K) | - | 255,049.05 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|---------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | FEDERAL GRANTS TRUST FUND | |
| LAS/PBS Fund Number: | 2261 | BE: 48250400 |

BEGINNING TRIAL BALANCE:

| | |
|--|------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 205,934.36 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | 0.00 (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | 0.00 (C) |
| SWFS Adjustment # and Description | 0.00 (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (281,212.52) (D) |
| Approved FCO Certified Forward per LAS/PBS | (D) |
| A/P not C/F-Operating Categories | (D) |
| ANTICIPATED REVENUE | 330,327.21 (D) |
| | (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 255,049.05 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 0.00 (F) |
| DIFFERENCE: | 255,049.05 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | GRANTS AND DONATIONS TRUST FUND |
| LAS/PBS Fund Number: | 48250400 STATE GRANTS/K-12 PROGRAM - NON FEFP |
| | 2339 (FSDB) |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 900,170 | (A) | | 900,170 |
| ADD: Other Cash (See Instructions) | - | (B) | | - |
| ADD: Investments | - | (C) | | - |
| ADD: Outstanding Accounts Receivable | 148,001 | (D) | | 148,001 |
| ADD: _____ | - | (E) | | - |
| Total Cash plus Accounts Receivable | 1,048,171 | (F) | - | 1,048,171 |
| LESS: Allowances for Uncollectibles | - | (G) | | - |
| LESS: Approved "A" Certified Forwards | - | (H) | | - |
| Approved "B" Certified Forwards | - | (H) | | - |
| Approved "FCO" Certified Forwards | - | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 882 | (I) | | 882 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/2018 | 1,047,289 | (K) | - | 1,047,289 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | |
|-----------------------------|--|
| | Budget Period: 2019 - 20 |
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | GRANTS AND DONATIONS TRUST FUND |
| LAS/PBS Fund Number: | 2339 (FSDB) BE 48250400 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/2018

| | |
|--|---------------|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 1,018,600 (A) |
|--|---------------|

| | |
|---|---|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | - |
|---|---|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------------------------|---|
| SWFS Adjustment # and Description | - |
|-----------------------------------|---|

| | |
|-----------------------------------|---|
| SWFS Adjustment # and Description | - |
|-----------------------------------|---|

Add/Subtract Other Adjustment(s):

| | |
|---|---|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | - |
|---|---|

| | |
|--|---|
| Approved "C" Carry Forward Total (FCO) per LAS/PBS | - |
|--|---|

| | |
|----------------------------------|---|
| A/P not C/F-Operating Categories | - |
|----------------------------------|---|

| | |
|--|------------|
| FSDB - Current Year Payables Not Certified | 28,689 (D) |
|--|------------|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|----------------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | 1,047,289 (E) |
|--|----------------------|

| | |
|--|----------------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 1,047,289 (F) |
|--|----------------------|

| | |
|--------------------|---------------|
| DIFFERENCE: | - (G)* |
|--------------------|---------------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017-2018

Department: Office of the Inspector General

Chief Internal Auditor: Tiffany Hurst

Budget Entity: Public Schools, Division of Educator Qual

Phone Number: 850-245-9422

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|---|----------------------|---|--|---|-------------------|
| Office of the Inspector General Report # C-1718DOE-012 | 4/30/2018 | Department of Education (DOE) Office of Professional Practices (PPS) Department of Children and Families (DCF) Florida Safe Families Network Database (FSFN) | <p>Recommendation (s): We recommend PPS establish documented policies and procedures for receiving, processing, and tracking notifications of institutional investigations or alleged abuse. The procedures should entail precise activities to ensure and align PPS efforts. These procedures should include but not be limited to:</p> <ul style="list-style-type: none"> • Requiring all external and internal notifications be documented in a tracking system; • Establishing a follow up process for external and internal notifications; and <p>• Storing and securing documents (i.e. internal notifications, external notifications, and FSFN reports).</p> <p>To implement the established policies and procedures, we recommend PPS develop a notification tracking system. PPS could utilize one of the existing tracking systems to track internal and external notifications. A tracking system could also facilitate the follow up process and assist with monitoring user activity in the FSFN system.</p> | <p>Executive Summary: In accordance with the Department of Education’s fiscal year 2017-18 audit plan, the Office of Inspector General (OIG) conducted a consulting engagement with the Office of Professional Practice Services (PPS). The purpose of this consulting engagement was to review access to the Department of Children and Families’ (DCF) Florida Safe Families Network (FSFN) Database to ensure PPS has effective internal controls over the use of FSFN.</p> <p>The engagement also included a review of the notification process to ensure PPS efficiently addressed all notifications from DCF.</p> <p>The OIG initiated an audit of the controls, policies, and processes in place related to PPS access to the DCF database, external notifications, and internal requests for the period of April 1, 2017, through January 31, 2018.</p> | |

| | | | |
|---|-----------|---|--|
| Office of the Inspector General Report # C-1718DOE-012 | 4/30/2018 | <p>The tracking system should, at a minimum, capture the FSFN case number, the subject's full name, the subject's date of birth, and the subjects' DOE certification number. The system should include whether follow up is required, the date staff started and completed follow up activities, and any actions taken. The system should allow the attachment of faxes, emails, and other related correspondence as needed.</p> | <p>During the preliminary information gathering and fieldwork, we determined PPS is implementing a new notification process and had not established policies and procedures. Therefore, we determined it was in the best interest of the office to change the audit to a consulting engagement to better assist the program.</p> |
| | | <p>As processes become more established, we recommend PPS conduct periodic quality assurance reviews. Quality assurance reviews will ensure PPS identifies instances of improper use of FSFN access and takes appropriate action. In order to conduct an effective quality assurance review, PPS will need to collaborate with DCF and customize audit logs to use for comparison purposes. The audit logs will need to include the name of the alleged abuser and be comparable to the information tracked on the PPS notification logs.</p> | Completion date : Ongoing |
| | | <p>We recommend PPS periodically request reports from DCF listing the subjects of all closed investigations. This will allow PPS to compare the notifications received from the CPIs to the DCF closed cases to ensure all relevant cases were submitted and appropriate action was taken.</p> | |
| | | <p>Finally, we recommend PPS establish a retention policy for both internal and external notifications. The retention policy should include but not be limited to policies and procedures for maintaining documents, storing documents, destroying records, etc.</p> | |

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service): Education - State Grants/K-12 Program/Non-FEFP

Agency Budget Officer/OPB Analyst Name: Alicia Bevis

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 | 48250400 |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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. | Y,Y | | | | |
|---|-----|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48250400 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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, FSDB has unique carry forward authority that generates this exception every year. | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48250400 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 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 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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48250400 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48250400 | | | | |
| 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y, for 2176 and 2380 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48250400 | | | | |
| 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 for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y for 2178, 2555, 2612 and 2543 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48250400 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (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 | | | | |

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|--|---|------------|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | | |
| Action | | 48250400 | | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 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.) | N/A | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|---|--|--|--|--|
| Action | | 48250400 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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 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 | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provision of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements. | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | | |

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| | Program or Service (Budget Entity Codes) |
| Action | 48250400 |

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|----------------------------------|---|---|--|--|--|
| 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 | | | |



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Exhibits or Schedules



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2019-20

Federal Grants K-12 Program

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | ADMINISTRATIVE TRUST FUND |
| LAS/PBS Fund Number: | 48250500 - FEDERAL GRANTS K/12 PROGRAM |
| | 2021 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 14,642.98 | (A) | | 14,642.98 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | | (D) | | - |
| ADD: ANTICIPATED TR FR 48800000/2021 | 56,267.82 | (E) | | 56,267.82 |
| Total Cash plus Accounts Receivable | 70,910.80 | (F) | - | 70,910.80 |
| LESS: Allowances for Uncollectibles | | (G) | | - |
| LESS: Approved "A" Certified Forwards | 14,642.98 | (H) | | 14,642.98 |
| Approved "B" Certified Forwards | 56,267.82 | (H) | | 56,267.82 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | - |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 0.00 | (K) | - | 0.00 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|---------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | ADMINISTRATIVE TRUST FUND | |
| LAS/PBS Fund Number: | 2021 | BE: 48250500 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|----------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text"/> | (A) |
|--|----------------------|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(56,267.82)"/> | (D) |
|---|--|-----|

| | | |
|--|----------------------|-----|
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|----------------------|-----|
| A/P not C/F-Operating Categories | <input type="text"/> | (D) |
|----------------------------------|----------------------|-----|

| | | |
|---------------------------------|--|-----|
| ANTICIPATED TF FM 48800000/2021 | <input type="text" value="56,267.82"/> | (D) |
|---------------------------------|--|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|-----------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="0.00"/> | (E) |
|--|-----------------------------------|-----|

| | | |
|--|-----------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="0.00"/> | (F) |
|--|-----------------------------------|-----|

| | | |
|--------------------|-------------------------------------|------|
| DIFFERENCE: | <input type="text" value="(0.00)"/> | (G)* |
|--------------------|-------------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | FEDERAL GRANTS TRUST FUND |
| LAS/PBS Fund Number: | 48250500 - FEDERAL GRANTS K/12 PROGRAM |
| | 2261 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 34,830.41 | (A) | | 34,830.41 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | | (D) | | - |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 34,830.41 | (F) | - | 34,830.41 |
| LESS: Allowances for Uncollectibles | | (G) | | - |
| LESS: Approved "A" Certified Forwards | 17,215.16 | (H) | | 17,215.16 |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | - |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 17,615.25 | (K) | - | 17,615.25 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|---------------------|
| Department Title: | Budget Period: 2019 - 2020 | |
| Trust Fund Title: | 48 EDUCATION | |
| LAS/PBS Fund Number: | FEDERAL GRANTS TRUST FUND | |
| | 2261 | BE: 48250500 |

BEGINNING TRIAL BALANCE:

| | |
|--|--|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | <input type="text"/> |
| GLC 539XX for proprietary and fiduciary funds | (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> |
| | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | <input type="text"/> |
| | (C) |
| SWFS Adjustment # and Description | <input type="text"/> |
| | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text"/> |
| | (D) |
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> |
| | (D) |
| A/P not C/F-Operating Categories | <input type="text" value="17,615.25"/> |
| | (D) |
| | <input type="text"/> |
| | (D) |
| | <input type="text"/> |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="17,615.25"/> |
| | (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="17,615.25"/> |
| | (F) |
| DIFFERENCE: | <input type="text" value="0.00"/> |
| | (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | GRANTS & DONATIONS TRUST FUND |
| LAS/PBS Fund Number: | 48250500 - FEDERAL GRANTS K/12 PROGRAM |
| | 2339 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | (831) | (A) | | (831) |
| ADD: Other Cash (See Instructions) | 38 | (B) | | 38 |
| ADD: Investments | 129,740 | (C) | | 129,740 |
| ADD: Outstanding Accounts Receivable | 1,716 | (D) | | 1,716 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 130,663 | (F) | - | 130,663 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 13 | (I) | | 13 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 130,651 | (K) | - | 130,651 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|--|---------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | GRANTS & DONATIONS TRUST FUND | |
| LAS/PBS Fund Number: | 2339 | BE: 48250500 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|--------------------------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | <input type="text" value="130,651"/> | (A) |
|--|--------------------------------------|-----|

| | | |
|---|----------------------|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> | (B) |
|---|----------------------|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

| | | |
|-----------------------------------|----------------------|-----|
| SWFS Adjustment # and Description | <input type="text"/> | (C) |
|-----------------------------------|----------------------|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|----------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text"/> | (D) |
|---|----------------------|-----|

| | | |
|--|----------------------|-----|
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> | (D) |
|--|----------------------|-----|

| | | |
|----------------------------------|----------------------|-----|
| A/P not C/F-Operating Categories | <input type="text"/> | (D) |
|----------------------------------|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | |
|----------------------|-----|
| <input type="text"/> | (D) |
|----------------------|-----|

| | | |
|--|--------------------------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="130,651"/> | (E) |
|--|--------------------------------------|-----|

| | | |
|--|--------------------------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="130,651"/> | (F) |
|--|--------------------------------------|-----|

| | | |
|--------------------|--------------------------------|------|
| DIFFERENCE: | <input type="text" value="0"/> | (G)* |
|--------------------|--------------------------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017-18

Department: Office of the Inspector General

Chief Internal Auditor: Tiffany Hurst

Budget Entity: Federal Grants K-12 Programs

Phone Number: 850-245-9422

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|--|----------------------|---|--|---|-------------------|
| Office of the Inspector General 6-Months Status Report #F-1718-011 on Report #A-1617-DOE-011 | 1/31/2018 | Bureau of Family and Community Outreach (BFCO) 21 st Century Community Learning Center (CCLC) | Finding 1. BFCO's grants monitoring process does not include tools or procedures to identify overlap among grant recipients and sub recipients. Recommendation(s): We recommend that BFCO implement tools and processes to track recipients and sub recipients by location so they can identify recipients and sub recipients that receive multiple grants for the same client services. These tools and processes may include but not be limited to: <ul style="list-style-type: none"> • Recording addresses and other identifying information on each recipient and sub recipient, • Requiring recipients and sub recipients to submit initial rosters on the clients they serve in an electronic format complete with demographic information so individual clients can be identified and compared across multiple grants, • Creating a database to house all sub recipient and client information to facilitate data analytics; and • Tracking clients served by grant recipients and sub recipients that receive multiple grants and periodically conducting data analyses to determine whether grant recipients and sub recipients are paying for the same client services through multiple grants. | Management response 12/29/18: BFCO has identified a software system that works to track the project activities of each 21 st CCLC by site location. We are working to procure the software solution for use by BFCO grants. | |

| | | | | |
|---|------------------|--|--|--|
| <p>Office of the Inspector General 6-Months Status Report #F-1718- 011 on Report #A-1617-DOE- 011</p> | <p>1/31/2018</p> | <p>Bureau of Family and Community Outreach (BFCO) 21st Century Community Learning Center (CCLC)</p> | <p>Finding 2. Grant recipients and sub recipients served the same clients with multiple grants for the same service. Recommendation (s): We recommend that BFCO periodically conduct data analyses to determine whether the same grant recipient is serving grant clients through multiple grants. We recommend that BFCO conduct structured, on-site monitoring to Boys and Girls Clubs that receive both 21st CCLC grants and state grant allocations from the Florida Alliance of Boys and Girls Clubs to ensure compliance with grant terms and ensure attendance reporting anomalies are corrected. We additionally recommend BFCO revise the Florida Alliance contract language to ensure consistent scopes of work.</p> <p>Finding 3. BFCO did not provide timely feedback to sub recipients. Recommendation(s): We recommend that BFCO enhance their structured monitoring process to expedite report processing so they can provide more timely feedback to the grant sub recipients. We additionally recommend BFCO allocate additional staff to conduct structured monitoring on-site visits.</p> | <p>Management response 12/29/2017: We completed the risk assessment table for the 2017-18, 21st CCLC programs. This table includes a risk score for programs that have additional funding from the Bureau of Family and Community Outreach. If a program has one or more additional grants, its overall risk score is increased. This risk assessment will be used in determining which programs should be prioritized for monitoring. After completing the risk assessment table, there are several Boys and Girls Club projects that have been identified for onsite monitoring.</p> <p>Management response 12/29/2017: The 21st CCLC Monitoring and Compliance Unit submitted all reports to BFCO leadership. The reports were routed to FDOE leadership, then disseminated to the monitored programs between September 25 and November 9, 2017. One report remains outstanding due to further issues identified by the department. The monitoring and Compliance Unit will begin on-site and desktop monitoring of 2017-18 programs starting in January 2018. All four monitoring staff as well as the 21st CCLC Assistant Director will be traveling to conduct onsite monitoring.</p> |
|---|------------------|--|--|--|

| | | | | |
|---|------------------|--|---|--|
| <p>Office of the Inspector General 6-Months Status Report #F-1718- 011 on Report #A-1617-DOE- 011</p> | <p>1/31/2018</p> | <p>Bureau of Family and Community Outreach (BFCO) 21st Century Community Learning Center (CCLC)</p> | <p>Finding 4. BFCO did not conduct risk assessments timely. Recommendation(s): We recommend that BFCO complete annual risk assessments to ensure structured monitoring is based on risk, new grants are identified, and variables are evaluated appropriately. We additionally recommend BFCO conduct risk assessments early in the fiscal year to identify high risk grant sub recipients and promptly conduct monitoring visits.</p> <p>Finding 5. BFCO did not review monthly deliverables timely. Recommendation(s): We recommend that BFCO ensure review of deliverables occurs during the required timeframe. We recommend that BFCO develop a process to inform the comptroller's office of approved or declined deliverables for public entities. We additionally recommend that BFCO prioritize structured on-site monitoring of 21st CCLC programs in order to identify significant deficiencies.</p> | <p>Management response 12/29/17: BFCO conducted a risk assessment of all 2017-18 programs. The assessment was finalized on September 5, 2017. Each program had a risk score and risk level assigned to it. These risk scores are used to prioritize future monitoring.</p> <p>Management response: BFCO has developed a system for submitting and tracking deliverables documentation as well as tracking the approval status of each deliverable. Programs email their deliverables directly to their Program Development Specialist. The PDS then saves the deliverables to the network drive and updates the deliverables tracking spreadsheet with the approval status of the deliverable, including the date on which it was approved or declined.</p> <p>BFCO works with the Comptroller's office to ensure that this documentation process can be used as part of the reimbursement packages for performance based programs. For public entities, the linking of the deliverables to the activities of the Comptroller's office may be part of the EGMA system that is forthcoming from the department.</p> |
|---|------------------|--|---|--|

Office of the
Inspector General
6-Month Status
Report #F-1718-
011
on Report
#A-1617-DOE-
011

Student Assistance
Initiative (SAI)

Boys & Girls Club of
Collier County
(BGCCC)

Finding 6. Grant recipients and sub recipients served the same clients with multiple grants for the same service.
Recommendation(s): We recommend that the Collier County Boys and Girls Club improve its attendance record keeping.

Management response 12/29/2017:
Upon positive dialogue with the Office of Inspector General in late June, 2017, Boys & Girls Club of Collier County (BGCCC) immediately reviewed all members in our database to verify and correct any coding issues. This ensures that when we are asked to submit reports we are confident that we are pulling the correct information and not duplicating youth in reporting as they are not duplicated in funding. BGCCC is compliant with the new Alliance contract for 2017-18 which outlines that our SAI Programs will provide innovation programs designed to empower youth to excel in school, become good citizens and lead healthily, productive lives from BGCA and/or locally developed programs to all Club Members during the Club hours of operation and

| | | | | |
|--|--|--|--|---|
| | | | | <p>submit reports we are confident that we are pulling the correct information and not duplicating youth in reporting as they are not duplicated in funding. BGCCC is compliant with the new Alliance contract for 2017-18 which outlines that our SAI Programs will provide innovation programs designed to empower youth to excel in school, become good citizens and lead healthily, productive lives from BGCA and/or locally developed programs to all Club Members during the Club hours of operation and further that Mentoring Programs will be provided to Club members who are in 5th-12th grade for a minimum of one session each week. This is separate from 21st CCLC funding that BGCCC has applied for and is waiting for official approval.</p> |
|--|--|--|--|---|

Fiscal Year 2019-20 LBR Technical Review Checklist

| |
|---|
| Department/Budget Entity (Service): Education/Federal Grants K-12 Program |
| Agency Budget Officer/OPB Analyst Name: Alicia Bevis |

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 | 48250500 | | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|---|-------------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48250500 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---|---|--|--|--|--|
| Action | | 48250500 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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, 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, 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. | N/A | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A, N/A | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48250500 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|--|--|--|--|--|
| Action | | 48250500 | | | |
| 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 | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y, for 2176 and 2380 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48250500 | | | | |
| 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, for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y, for 2178, 2543, 2555 and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y, for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48250500 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (EADR, SC8A) | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48250500 | | | | |
| 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 | | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 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.) | N/A | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|---|--|--|--|--|
| Action | | 48250500 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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, 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 | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |

| | | | | |
|---|---|---|--|--|
| | Program or Service (Budget Entity Codes) | | | |
| Action | 48250500 | | | |
| <p>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.</p> | | | | |
| 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 | | |



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2019-20

Educational Media and
Technology Services
Exhibits or Schedules



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2019-20

Educational Media and
Technology Services
Schedule I Series

Fiscal Year 2019-20 LBR Technical Review Checklist

| |
|---|
| Department/Budget Entity (Service): Education/Educational Media and Technology Services |
| Agency Budget Officer/OPB Analyst Name: Alicia Bevis |

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 | 48250600 |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|---|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |

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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|---|------------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48250600 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48250600 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 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 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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48250600 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48250600 | | | | |
| 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y for 2176 and 2380 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------|--|--|--|--|--|--|
| Action | | 48250600 | | | | |
| 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 for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y for 2178, 2543, 2555 and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48250600 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (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 | | | | |

| | | | | | |
|--|---|------------|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | | 48250600 | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | |
| 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.) | N/A | | | |
| 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) | | | | | |
| 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 | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | |
| AUDIT: | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | |
| 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 | | | |
| 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 | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|--|--|--|--|
| Action | | 48250600 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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 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 | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements. | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | | |
| 19. FLORIDA FISCAL PORTAL | | | | | | |

| | | | | | |
|--|--|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 48250600 | | | | |
| 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 | | | | |



FLORIDA DEPARTMENT OF
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2019-20

Workforce Education
Exhibits or Schedules



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2019-20

Workforce Education

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | EDUCATIONAL ENHANCEMENT TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2178 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|--------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 195.99 | (A) | | 195.99 |
| ADD: Other Cash (See Instructions) | 4,737.87 | (B) | | 4,737.87 |
| ADD: Investments | 369,941,712.18 | (C) | | 369,941,712.18 |
| ADD: Outstanding Accounts Receivable | 84,742,425.76 | (D) | | 84,742,425.76 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 454,689,071.80 | (F) | - | 454,689,071.80 |
| LESS Allowances for Uncollectibles | 3,080.63 | (G) | | 3,080.63 |
| LESS Approved "A" Certified Forwards | 16,639,384.69 | (H) | | 16,639,384.69 |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | - | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 43,686.07 | (I) | | 43,686.07 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 438,002,920.41 | (K) | - | 438,002,920.41 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: EDUCATIONAL ENHANCEMENT TRUST FUND
LAS/PBS Fund Number: 2178

BEGINNING TRIAL BALANCE:

| | |
|--|--------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 438,247,393.46 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
| Approved FCO Certified Forward per LAS/PBS | 0.00 (D) |
| A/P not C/F-Operating Categories | (D) |
| OTHER LOANS AND NOTES RECEIVABLE, LONG TERM | (460,825.57) (D) |
| ALLOWANCE FOR UNCOLLECTIBLES, LONG TERM | 216,352.52 (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 438,002,920.41 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 438,002,920.41 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---------------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | FEDERAL GRANTS TRUST FUND |
| LAS/PBS Fund Number: | 48250800 - WORKFORCE EDUCATION |
| | 2261 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 3,914.17 | (A) | | 3,914.17 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | 56,013.67 | (D) | | 56,013.67 |
| ADD: ANTICIPATED REVENUE | 17,357,705.87 | (E) | | 17,357,705.87 |
| Total Cash plus Accounts Receivable | 17,417,633.71 | (F) | - | 17,417,633.71 |
| LESS: Allowances for Uncollectibles | | (G) | | - |
| LESS: Approved "A" Certified Forwards | 59,927.84 | (H) | | 59,927.84 |
| Approved "B" Certified Forwards | 17,357,705.87 | (H) | | 17,357,705.87 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | - |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | - | (K) | - | - |

Notes:
 *SWFS = Statewide Financial Statement
 ** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|---------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | FEDERAL GRANTS TRUST FUND | |
| LAS/PBS Fund Number: | 2261 | BE: 48250800 |

BEGINNING TRIAL BALANCE:

| | |
|--|---------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | 0.00 (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (17,357,705.87) (D) |
| Approved FCO Certified Forward per LAS/PBS | (D) |
| A/P not C/F-Operating Categories | (D) |
| ANTICIPATED REVENUE | 17,357,705.87 (D) |
| | (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 0.00 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 0.00 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | OPERATING TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2510 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,882 | (A) | | | 1,882 |
| ADD: Other Cash (See Instructions) | | (B) | | | 0 |
| ADD: Investments | 1,475,063 | (C) | | | 1,475,063 |
| ADD: Outstanding Accounts Receivable | 2,356 | (D) | | | 2,356 |
| ADD: _____ | | (E) | | | 0 |
| Total Cash plus Accounts Receivable | 1,479,300 | (F) | 0 | | 1,479,300 |
| LESS Allowances for Uncollectibles | | (G) | | | 0 |
| LESS Approved "A" Certified Forwards | 120,000 | (H) | | | 120,000 |
| Approved "B" Certified Forwards | 133,309 | (H) | | | 133,309 |
| Approved "FCO" Certified Forwards | | (H) | | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 148 | (I) | | | 148 |
| LESS: _____ | | (J) | | | 0 |
| Unreserved Fund Balance, 07/01/18 | 1,225,843 | (K) | 0 | | 1,225,843 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|-------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | OPERATING TRUST FUND | |
| LAS/PBS Fund Number: | 2510 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

| | |
|---|------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | 1,294,420.32 (A) |
| GLC 539XX for proprietary and fiduciary funds | |

| | |
|---|-----------|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | _____ (B) |
|---|-----------|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------------------------|-----------|
| SWFS Adjustment # and Description | _____ (C) |
|-----------------------------------|-----------|

| | |
|-----------------------------------|-----------|
| SWFS Adjustment # and Description | _____ (C) |
|-----------------------------------|-----------|

Add/Subtract Other Adjustment(s):

| | |
|---|------------------|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (133,309.09) (D) |
|---|------------------|

| | |
|--|-----------|
| Approved FCO Certified Forward per LAS/PBS | _____ (D) |
|--|-----------|

| | |
|----------------------------------|---------------|
| A/P not C/F-Operating Categories | 64,731.76 (D) |
|----------------------------------|---------------|

| |
|-----------|
| _____ (D) |
|-----------|

| |
|-----------|
| _____ (D) |
|-----------|

| |
|-----------|
| _____ (D) |
|-----------|

| | |
|--|------------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | 1,225,842.99 (E) |
|--|------------------|

| | |
|--|------------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 1,225,842.99 (F) |
|--|------------------|

| | |
|--------------------|-----------|
| DIFFERENCE: | 0.00 (G)* |
|--------------------|-----------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2017 - 2018

Department: Office of the Inspector General

Chief Internal Auditor: Tiffany Hurst

Budget Entity: Workforce Education

Phone Number: 850-245-9422

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
|---|----------------------|--|--|---|-------------------|
| Office of the Inspector General (OIG) Report # A-1617-025 | 1/16/2018 | Department of Education (DOE) Division of Career and Adult Education (DCAE) Grants Administration Career & Technical Education (CTE) Adult Education (AE) Workforce Innovation and Opportunity ACT (WIOA) Office of Career, Technical, and Adult Education (OCTAE) | <p>Finding 1: DCAE did not issue desktop monitoring reports in a timely manner. Recommendation: We recommend that DCAE establish timelines for the issuance of monitoring reports and ensure that reports are issued within those timelines. We also recommend that DCAE establish definitions for draft reports and final reports.</p> <p>Finding 2: DCAE did not include the achievement of Adult General Education performance targets in their risk analysis. Recommendation: We recommend that DCAE incorporate the achievement of Adult Education state performance targets into their risk analysis in order to ensure those providers not achieving the performance targets will be identified, receive a higher risk rating, and receive an opportunity for onsite or desktop monitoring.</p> <p>Finding 3. Current Adult Education grants do not include performance targets for all primary core measures. Recommendation: We recommend that DCAE include performance targets for all primary measures in the Adult Education grants to ensure providers are achieving their performance goals and to address forthcoming WIOA guidelines.</p> | <p>Management response: Concur. DCAE will establish timelines for the issuance of monitoring reports and ensure that reports are issued within those timelines. SCAE will establish definitions for draft reports and final reports.</p> <p>Management response: Concur. DCAE will incorporate the achievement of Adult Education state performance targets into their risk analysis in order to ensure those providers not achieving the performance targets will be identified, receive a higher risk rating, an receive an opportunity for onsite or desktop monitoring.</p> <p>Management response: Concur DCAE will incorporate performance targets for all primary core measures in the Adult Education grant. OCTAE does not plan to negotiate performance targets for employment outcome measures and credential attainment rate until there is at least two years for employment outcome measures and credential attainment rate until there is at least two years of baseline data.</p> | |

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| <p>Office of the Inspector General Six-Month Status Report # F-1718-023 on Report # A-1617-025</p> | <p>6/4/2018</p> | <p>Department of Education (DOE) Division of Career and Adult Education (DCAE) Grants Administration</p> | <p>Finding.1 DCAE did not issue desktop monitoring reports in a timely manner. Recommendation: We recommend that DCAE establish timelines for the issuance of monitoring reports and ensure that reports are issued within those timelines. We also recommend that DCAE establish definitions for draft reports and final reports.</p> | <p>Management response: Action Completed: DCAE established report definitions for desktop monitoring preliminary (draft) reports and final reports. Timelines were also established for the monitoring reports. Evidence: Attachment A [Desk Monitoring Report Definitions for Preliminary (draft) and Final Report and Report Timeline] Completed April 23, 2018 Gloria Spradley-Brown/Tashi Williams</p> |
| | | <p>Career & Technical Education (CTE) Adult Education (AE) Workforce Innovation and Opportunity ACT (WIOA) Office of Career, Technical, and Adult Education (OCTAE)</p> | <p>Finding 2. DCAE did not include the achievement of Adult General Education performance targets in their risk analysis. Recommendation: We recommend that DCAE incorporate the achievement of Adult Education state performance targets into their risk analysis in order to ensure those providers not achieving the performance targets will be identified, receive a higher risk rating, and receive an opportunity for onsite or desktop monitoring.</p> | <p>Management response: Action Completed: DCAE incorporated the achievement of Adult Education state performance targets into the 2018-19 risk analysis. Evidence: Attachment B (Business Rules for Adult Education State Performance Targets-Compliance Agency Post Test Quartile Rankings)</p> |
| | | | <p>Finding 3. Current Adult Education grants do not include performance targets for all primary core measures. Recommendation: We recommend that DCAE include performance targets for all primary measures in the Adult Education grants to ensure providers are achieving their performance goals and to address forthcoming WIOA guidelines.</p> | <p>Management response: DCAE will incorporate performance targets for all primary core measures in the Adult Education grant. Per the attached email, OCTAE does not plan to negotiate performance targets for employment outcome measures and credential attainment rate until there is at least two years of baseline data.</p> |

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| | | | | <p>Based on this email, it is anticipated that performance targets for one or more of the outcome measures will be established for the 2019-20 reporting year. Notation of this expected schedule was included on page 50 of the 2017-18 AGE FRA released January 2016. Therefore performance targets could not be negotiated and set for local agencies prior to reporting year 2019-20. Anticipated completion date: July 1, 2019 Contacts: Gloria Spradley-Brown/Tashi Williams/Tara Goodman/Tara McLarnon</p> |
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Fiscal Year 2019-20 LBR Technical Review Checklist

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|---|
| Department/Budget Entity (Service): Education / Workforce Education |
| Agency Budget Officer/OPB Analyst Name: Alicia Bevis |

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.

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| | Program or Service (Budget Entity Codes) | | | |
| Action | 48250800 | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

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|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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)

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|---|---|--|--|--|--|
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

3. EXHIBIT B (EXBR, EXB)

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|---|---------|--|--|--|--|
| 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 | | | | |
|---|---------|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48250800 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48250800 | | | | |
| <p>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.</p> | | | | | | |
| 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 | | | | |
| <p>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.</p> | | | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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,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,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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A,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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48250800 | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48250800 | | | | |
| 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y for 2176 and 2380 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | 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 for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y for 2178,2543,2555, and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48250800 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y for FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48250800 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (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 | | | | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 14. SCHEDULE VIIIB-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.) | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48250800 | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |

| | | | | | |
|--------|--|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 48250800 | | | | |

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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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,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 | | | | |

AUDITS - GENERAL INFORMATION

TIP Review *Section 6: Audits* of the LBR Instructions (pages 157-159) for a list of audits and their descriptions.

TIP Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.

18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)

| | | | | | | |
|------------|---|--|--|--|--|--|
| 18.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include: " is interpreted to mean "in lieu of" the CIP requirements | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |
| TIP | Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | |

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 | | | | |
|------|---|---|--|--|--|--|



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Florida Colleges

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | EDUCATIONAL ENHANCEMENT TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2178 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|--------------------------|
| Chief Financial Officer's (CFO) Cash Balance | 195.99 | (A) | | 195.99 |
| ADD: Other Cash (See Instructions) | 4,737.87 | (B) | | 4,737.87 |
| ADD: Investments | 369,941,712.18 | (C) | | 369,941,712.18 |
| ADD: Outstanding Accounts Receivable | 84,742,425.76 | (D) | | 84,742,425.76 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 454,689,071.80 | (F) | - | 454,689,071.80 |
| LESS Allowances for Uncollectibles | 3,080.63 | (G) | | 3,080.63 |
| LESS Approved "A" Certified Forwards | 16,639,384.69 | (H) | | 16,639,384.69 |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | - | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 43,686.07 | (I) | | 43,686.07 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 438,002,920.41 | (K) | - | 438,002,920.41 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: EDUCATIONAL ENHANCEMENT TRUST FUND
LAS/PBS Fund Number: 2178

BEGINNING TRIAL BALANCE:

| | |
|--|--------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 438,247,393.46 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (D) |
| Approved FCO Certified Forward per LAS/PBS | 0.00 (D) |
| A/P not C/F-Operating Categories | (D) |
| OTHER LOANS AND NOTES RECEIVABLE, LONG TERM | (460,825.57) (D) |
| ALLOWANCE FOR UNCOLLECTIBLES, LONG TERM | 216,352.52 (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 438,002,920.41 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 438,002,920.41 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**



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Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | ADMINISTRATIVE TRUST FUND |
| LAS/PBS Fund Number: | 48800000 - STATE BOARD OF EDUCATION |
| | 2021 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | (20,595.94) | (A) | | (20,595.94) |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | 5,295,231.71 | (C) | | 5,295,231.71 |
| ADD: Outstanding Accounts Receivable | 60,700.64 | (D) | | 60,700.64 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 5,335,336.41 | (F) | - | 5,335,336.41 |
| LESS: Allowances for Uncollectibles | 3,034.05 | (G) | | 3,034.05 |
| LESS: Approved "A" Certified Forwards | 157,541.63 | (H) | | 157,541.63 |
| Approved "B" Certified Forwards | 2,494,613.52 | (H) | | 2,494,613.52 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 15,983.37 | (I) | | 15,983.37 |
| LESS: ANTICIPATED TF TO 48180000/0210 | 870.49 | (J) | | 870.49 |
| LESS: ANTICIPATED TF TO 48250500/0210 | 56,267.82 | (J) | | 56,267.82 |
| Unreserved Fund Balance, 07/01/18 | 2,607,025.53 | (K) | - | 2,607,025.53 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| LAS/PBS Fund Number: | ADMINISTRATIVE TRUST FUND |
| | 2021 BE: 48800000 |

BEGINNING TRIAL BALANCE:

| | |
|--|-------------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | 5,295,699.88 (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (2,494,613.52) (D) |
| Approved FCO Certified Forward per LAS/PBS | (D) |
| A/P not C/F-Operating Categories | 53,588.00 (D) |
| OTHER LOANS AND NOTES RECEIVABLE | (190,510.52) (D) |
| ANTICIPATED TF TO 48180000/0210 | (870.49) (D) |
| ANTICIPATED TF TO 48250500/0210 | (56,267.82) (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 2,607,025.53 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 2,607,025.53 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|---|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | ED CERTIFICATION/SERVICES TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2176 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 74,867 | (A) | | 74,867 |
| ADD: Other Cash (See Instructions) | 31,689 | (B) | | 31,689 |
| ADD: Investments | 1,015,767 | (C) | | 1,015,767 |
| ADD: Outstanding Accounts Receivable | 3,280 | (D) | | 3,280 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 1,125,603 | (F) | - | 1,125,603 |
| LESS Allowances for Uncollectibles | 542 | (G) | | 542 |
| LESS Approved "A" Certified Forwards | 78,275 | (H) | | 78,275 |
| Approved "B" Certified Forwards | 303,086 | (H) | | 303,086 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 198,543 | (I) | | 198,543 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 545,157 | (K) | - | 545,157 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: ED CERTIFICATION/SERVICES TRUST FUND
LAS/PBS Fund Number: 2176

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; 420,976 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (303,086) (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 48,708 (D)

COMPENSATED ABSENCES LIABILITY 378,558 (D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: 545,157 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 545,157 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

| | |
|-----------------------------|---|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | DIV OF UNIV FACILITY CONSTRUCTION ADMINISTRATIVE TRUST FUND |
| Budget Entity: | DEPARTMENT |
| LAS/PBS Fund Number: | 2222 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 55,071.76 | (A) | | 55,071.76 |
| ADD: Other Cash (See Instructions) | | (B) | | 0 |
| ADD: Investments | | (C) | | 0 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 55,071.76 | (F) | - | 55,071.76 |
| LESS Allowances for Uncollectibles | | (G) | | 0 |
| LESS Approved "A" Certified Forwards | 26,191.80 | (H) | | 26,191.80 |
| Approved "B" Certified Forwards | 3,546.13 | (H) | | 3,546.13 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0 |
| LESS: _____ | | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | 25,333.83 | (K) | - | 25,333.83 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: DIV OF UNIV FACILITY CONSTRUCTION ADMINISTRATIVE TRUST FUND
LAS/PBS Fund Number: 2222

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; 28,797.46 (A)
 GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (3,546.13) (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories 82.50 (D)

 (D)

 (D)

 (D)

ADJUSTED BEGINNING TRIAL BALANCE: 25,333.83 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 25,333.83 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | FEDERAL GRANTS TRUST FUND |
| LAS/PBS Fund Number: | 48800000 - STATE BOARD OF EDUCATION |
| | 2261 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 188,891.20 | (A) | | 188,891.20 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | | (C) | | - |
| ADD: Outstanding Accounts Receivable | 2,679,475.02 | (D) | | 2,679,475.02 |
| ADD: ANTICIPATED REVENUE | 32,050,819.00 | (E) | | 32,050,819.00 |
| Total Cash plus Accounts Receivable | 34,919,185.22 | (F) | - | 34,919,185.22 |
| LESS: Allowances for Uncollectibles | 284.99 | (G) | | 284.99 |
| LESS: Approved "A" Certified Forwards | 2,853,652.72 | (H) | | 2,853,652.72 |
| Approved "B" Certified Forwards | 32,055,073.79 | (H) | | 32,055,073.79 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 10,173.89 | (I) | | 10,173.89 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | (0.17) | (K) | - | (0.17)** |

Notes:
 *SWFS = Statewide Financial Statement
 ** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|---------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | FEDERAL GRANTS TRUST FUND | |
| LAS/PBS Fund Number: | 2261 | BE: 48800000 |

BEGINNING TRIAL BALANCE:

| | |
|--|--|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | <input type="text" value="0.00"/> (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | <input type="text"/> (C) |
| SWFS Adjustment # and Description | <input type="text"/> (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(32,055,073.79)"/> (D) |
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> (D) |
| A/P not C/F-Operating Categories | <input type="text" value="4,254.62"/> (D) |
| ANTICIPATED REVENUE | <input type="text" value="32,050,819.00"/> (D) |
| | <input type="text"/> (D) |
| | <input type="text"/> (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="(0.17)"/> (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="(0.17)"/> (F) |
| DIFFERENCE: | <input type="text" value="0.00"/> (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 48 EDUCATION **Budget Period: 2019-20**
Program: DEPARTMENT
Fund: 2380 - INSTITUTIONAL ASSESMENT TRUST FUND

Specific Authority: Section 1010.83 and 1005.35 Florida Statutes
Purpose of Fees Collected: Funds from the trust fund shall be used for purposes including, but not limited to, the following:
(a) Authorized expenses of the Commission for Independent Education in carrying out its required duties.
(b) Authorized expenses from the Department of Education account incurred as a result of the inclusion of nonpublic colleges in the statewide course numbering system.
(c) Expenses authorized by the Commission for Independent Education from the Student Protection Fund account to complete the training of students enrolled in an institution that terminates a program or ceases operation while the student is enrolled or to facilitate the retrieval or safekeeping of records from a closed institution.
(d) Expenses authorized by the Department of Education related to a reciprocity agreement.

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

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

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2017-18 | FY 2018-19 | FY 2019-20 |
| <u>Receipts:</u> | | | |
| <u>FEES INST ASSESSMENT</u> | 50,850 | 100,000 | 100,000 |
| <u>FEES COURSE NON PUBLIC</u> | 8,489 | 8,489 | 8,489 |
| <u>LICENSES INST ASSESSMENT</u> | 3,017,934 | 3,017,934 | 3,017,934 |
| <u>FEES - STUDENT PROTECTION</u> | 212,583 | 212,583 | 212,583 |
| <u>FEES - SARA</u> | 234,000 | 234,000 | 234,000 |
| Total Fee Collection to Line (A) - Section III | 3,523,856 | 3,573,006 | 3,573,006 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---------------------------------------|-----------|-----------|-----------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 2,607,875 | 2,709,822 | 2,722,523 |
| Other Personal Services | 105,357 | 219,557 | 219,765 |

| | | | |
|---|------------------|------------------|------------------|
| Expenses | 352,800 | 540,776 | 540,776 |
| Operating Capital Outlay | 14,206 | 16,375 | 16,375 |
| Contracted Services | 375,983 | 405,405 | 800,061 |
| Risk Management Insurance | 3,266 | 3,606 | 3,606 |
| DMS-Human Resources | 9,449 | 9,069 | 9,069 |
| Ed Tech and Information Services | 309,898 | 311,517 | 312,038 |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 3,778,834 | 4,216,127 | 4,624,213 |

Basis Used: For the 2019-2020 fiscal year the Commission is requesting access to \$394,656 that is currently available in the Student Protection Fund to aid in institution closures & train-outs and transcript conversions.

SECTION III - SUMMARY

| | | | | |
|--------------------------------|-----|------------------|------------------|--------------------|
| TOTAL SECTION I | (A) | 3,523,856 | 3,573,006 | 3,573,006 |
| TOTAL SECTION II | (B) | 3,778,834 | 4,216,127 | 4,624,213 |
| TOTAL - Surplus/Deficit | (C) | (254,978) | (643,121) | (1,051,207) |

EXPLANATION of LINE C:

The Institutional Assessment Trust Fund currently has a cash balance that will alleviate the deficit that exist in line C.

Schedule IA - Part I: Examination of Regulatory Fees

Department: Education

Regulatory Service to or Oversight of Businesses or Professions

Program: Commission for Independent Education (CIE) – Fund 2380

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

The Commission Information Management System (CIMS) is a unique, Access-based database that has been developed by Commission staff to facilitate the licensure and regulation of over 1000 nonpublic postsecondary education institutions. This highly efficient and effective system saves staff time by producing all of the documents required for licensure (including all staff correspondence) using prepared templates and institutional information acquired from the database. The annual amount of cost-savings in staff time is estimated in excess of \$50,000 annually. Images of paper documents received from schools and colleges are provided electronically to Commissioners for review. This saves as much as \$10,000 annually in shipping costs and copying charges.

2. What additional operational efficiencies are planned? What are the estimated savings associated with these efficiencies during the next fiscal year?
Further refinements for the CIMS are on-going and the system continues to improve staff efficiency and effectiveness.

3. Is the regulatory activity an appropriate function that the agency should continue at its current level?
Yes. This is based on the statutory duties outlined in Section 1005, Florida Statutes and Chapter 6E, Florida Administrative Code.

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

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

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

Yes

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

Not Applicable

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

Not Applicable

Schedule IA - Part II: Examination of Regulatory Fees

| Department: Education | | | | | | | |
|---|-------------------------|-----------------------------|---|--|---------------------------------|----------------------|---|
| Regulatory Service to or Oversight of Business or Profession Program: Licensure of independent postsecondary educational institutions | | | | | | | |
| Does Florida Statutes require the regulatory program to be financially self-sufficient? (Yes or No and F.S.): Yes, s. 1005.35. F.S. | | | | | | | |
| What percent of the regulatory cost is currently subsidized? (0 to 100%) 0 | | | | | | | |
| If the program is subsidized from other state funds, what is the source(s)? N/A | | | | | | | |
| What is the current annual amount of the subsidy? N/A | | | | | | | |
| Service/Product Regulated | Specific Fee Title | Statutory Authority for Fee | Maximum Fee Authorized (cap) | Year of Last Statutory Revision to Fee | Is Fee Set by Rule? (Yes or No) | Current Fee Assessed | Fund Fee Deposited in (indicate General Revenue or Specific Trust Fund) |
| Data collection and dissemination | Base | s.1005.35, F.S. | See Rule 6E-4.001 | N/A | Yes | See Rule 6E-4.001 | Institutional Assessment TF |
| Licensure | Licensure | s.1005.35, F.S. | See Rule 6E-4.001 | N/A | Yes | See Rule 6E-4.001 | Institutional Assessment TF |
| Student protection | Student Protection Fund | s.1005.37, F.S. | \$500 initial payment + .0005% annual gross tuition revenue | N/A | Yes | See Rule 6E-4.001 | Institutional Assessment TF |
| Institutional Participation in SARA | FL-SARA | s.1000.35, F.S. | See Rule 6N-1.005 | N/A | No | See Rule 6N-1.005 | Institutional Assessment TF |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | INSTITUTIONAL ASSESSMENT TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2380 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 22,360 | (A) | | | 22,360 |
| ADD: Other Cash (See Instructions) | 15,274 | (B) | | | 15,274 |
| ADD: Investments | 5,988,974 | (C) | | | 5,988,974 |
| ADD: Outstanding Accounts Receivable | 9,651 | (D) | | | 9,651 |
| ADD: _____ | | (E) | | | 0 |
| Total Cash plus Accounts Receivable | 6,036,259 | (F) | 0 | | 6,036,259 |
| LESS Allowances for Uncollectibles | | (G) | | | 0 |
| LESS Approved "A" Certified Forwards | 16,305 | (H) | | | 16,305 |
| Approved "B" Certified Forwards | 36,370 | (H) | | | 36,370 |
| Approved "FCO" Certified Forwards | | (H) | | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 605 | (I) | | | 605 |
| LESS: _____ | | (J) | | | 0 |
| Unreserved Fund Balance, 07/01/18 | 5,982,979 | (K) | 0 | | 5,982,979 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|--|-------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | INSTITUTIONAL ASSESSMENT TRUST FUND | |
| LAS/PBS Fund Number: | 2380 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

| | |
|--|-------------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 5,675,348.52 (A) |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | (C) |
| SWFS Adjustment # and Description | (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (36,369.85) (D) |
| Approved FCO Certified Forward per LAS/PBS | (D) |
| A/P not C/F-Operating Categories | 83.84 (D) |
| COMPENSATED ABSENCES | 343,916.07 (D) |
| | (D) |
| | (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | 5,982,978.58 (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 5,982,978.58 (F) |
| DIFFERENCE: | 0.00 (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

| | |
|-----------------------------|--|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | STUDENT LOAN OPERATING TRUST FUND |
| Budget Entity: | DEPARTMENT |
| LAS/PBS Fund Number: | 2397 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,392 | (A) | | 1,392 |
| ADD: Other Cash (See Instructions) | | (B) | | 0 |
| ADD: Investments | 14,304,477 | (C) | | 14,304,477 |
| ADD: Outstanding Accounts Receivable | 1,066,674 | (D) | | 1,066,674 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 15,372,543 | (F) | 0 | 15,372,543 |
| LESS Allowances for Uncollectible | | (G) | | 0 |
| LESS Approved "A" Certified Forwards | 198,437 | (H) | | 198,437 |
| Approved "B" Certified Forwards | 457,874 | (H) | | 457,874 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 3,809 | (I) | | 3,809 |
| LESS: <u>Reserve-Default Prevention</u> | 2,282,639 | (J) | | 2,282,639 |
| Unreserved Fund Balance, 07/01/18 | 12,429,784 | (K) | 0 | 12,429,784 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|--|-------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | STUDENT LOAN OPERATING TRUST FUND | |
| LAS/PBS Fund Number: | 2397 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 15,155,686 | (A) |
|--|------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-----------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (457,874) | (D) |
|---|-----------|-----|

| | | |
|--|--|-----|
| Approved FCO Certified Forward per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--------|-----|
| A/P not C/F-Operating Categories | 14,611 | (D) |
|----------------------------------|--------|-----|

| | | |
|----------------------------|-------------|-----|
| Default Prevention Reserve | (2,282,639) | (D) |
|----------------------------|-------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 12,429,784 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 12,429,784 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|----------|------|
| DIFFERENCE: | 0 | (G)* |
|--------------------|----------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | NURSING STUDENT LOAN FORGIVENESS TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2505 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|------------------------|
| Chief Financial Officer's (CFO) Cash Balance | - | (A) | | - |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | 1,225,531.70 | (C) | | 1,225,531.70 |
| ADD: Outstanding Accounts Receivable | 1,739.92 | (D) | | 1,739.92 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 1,227,271.62 | (F) | - | 1,227,271.62 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 109.45 | (I) | | 109.45 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 1,227,162.17 | (K) | - | 1,227,162.17 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | |
|-----------------------------|--|
| Department Title: | <u>48 EDUCATION</u> |
| Trust Fund Title: | <u>NURSING STUDENT LOAN FORGIVENESS TRUST FUND</u> |
| LAS/PBS Fund Number: | <u>2505</u> <u>DEPARTMENT</u> |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 48 EDUCATION **Budget Period:** 2019-20
Program: DEPARTMENT
Fund: 2510 - OPERATING TRUST FUND

Specific Authority: 1001.281 and 1006.29
Purpose of Fees Collected: To support program operations for GED and stipends for instructional material reviewers.

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

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

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2017-18 | FY 2018-19 | FY 2019-20 |
| <u>Receipts:</u> | | | |
| <u>FEES-GED TESTING</u> | 235,050 | 255,000 | 255,000 |
| <u>PUBLISHER INST. MATERIALS</u> | 145,000 | 140,000 | 140,000 |
| <u>MISC. RECEIPTS (DATA COLLECTION)</u> | 76,965 | 8,000 | 8,000 |
| | | | |
| Total Fee Collection to Line (A) - Section III | 457,015 | 403,000 | 403,000 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|----------------|------------------|------------------|
| <u>Direct Costs:</u> | | | |
| <u>Salaries and Benefits</u> | 210,972 | 291,159 | 292,531 |
| <u>Other Personal Services</u> | | 5,005 | 5,005 |
| <u>Expenses</u> | 206,830 | 295,667 | 295,667 |
| <u>Operating Capital Outlay</u> | | 5,000 | 5,000 |
| <u>Contracted Services</u> | 167,298 | 374,193 | 374,193 |
| <u>Risk Management Insurance</u> | 3,305 | 3,649 | 3,649 |
| <u>Human Resources</u> | 2,958 | 2,839 | 2,839 |
| <u>Education Technology & Info. Svcs.</u> | 56,099 | 92,628 | 92,783 |
| <u>Indirect Costs Charged to Trust Fund</u> | | | |
| Total Full Costs to Line (B) - Section III | 647,462 | 1,070,140 | 1,071,667 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | |
|-------------------------------------|-----|------------------|------------------|
| TOTAL SECTION I | (A) | 457,015 | 403,000 |
| TOTAL SECTION II | (B) | 647,462 | 1,070,140 |
| TOTAL - Surplus/Deficit | (C) | (190,447) | (668,667) |

EXPLANATION of LINE C:
Deficit will be covered by reserves and reduction of expenditures.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | OPERATING TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2510 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 1,882 | (A) | | 1,882 |
| ADD: Other Cash (See Instructions) | | (B) | | 0 |
| ADD: Investments | 1,475,063 | (C) | | 1,475,063 |
| ADD: Outstanding Accounts Receivable | 2,356 | (D) | | 2,356 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 1,479,300 | (F) | 0 | 1,479,300 |
| LESS Allowances for Uncollectibles | | (G) | | 0 |
| LESS Approved "A" Certified Forwards | 120,000 | (H) | | 120,000 |
| Approved "B" Certified Forwards | 133,309 | (H) | | 133,309 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 148 | (I) | | 148 |
| LESS: _____ | | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | 1,225,843 | (K) | 0 | 1,225,843 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

| | | |
|-----------------------------|-----------------------------------|-------------------|
| | Budget Period: 2019 - 2020 | |
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | OPERATING TRUST FUND | |
| LAS/PBS Fund Number: | 2510 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

| | |
|--|------------------|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 1,294,420.32 (A) |

| | |
|---|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | (B) |
|---|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | |
|-----------------------------------|-----|
| SWFS Adjustment # and Description | (C) |
|-----------------------------------|-----|

| | |
|-----------------------------------|-----|
| SWFS Adjustment # and Description | (C) |
|-----------------------------------|-----|

Add/Subtract Other Adjustment(s):

| | |
|---|------------------|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (133,309.09) (D) |
|---|------------------|

| | |
|--|-----|
| Approved FCO Certified Forward per LAS/PBS | (D) |
|--|-----|

| | |
|----------------------------------|---------------|
| A/P not C/F-Operating Categories | 64,731.76 (D) |
|----------------------------------|---------------|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|-----|
| | (D) |
|--|-----|

| | |
|--|------------------|
| ADJUSTED BEGINNING TRIAL BALANCE: | 1,225,842.99 (E) |
|--|------------------|

| | |
|--|------------------|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 1,225,842.99 (F) |
|--|------------------|

| | |
|--------------------|-----------|
| DIFFERENCE: | 0.00 (G)* |
|--------------------|-----------|

***SHOULD EQUAL ZERO.**

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 48 EDUCATION **Budget Period:** 2019-20
Program: DEPARTMENT
Fund: 2727 - TEACHER CERTIFICATION EXAMINATION TRUST FUND

Specific Authority: _____
Purpose of Fees Collected: _____

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

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

| <u>SECTION I - FEE COLLECTION</u> | ACTUAL | ESTIMATED | REQUEST |
|---|-------------------|-------------------|-------------------|
| | FY 2017-18 | FY 2018-19 | FY 2019-20 |
| <u>Receipts:</u> | | | |
| Fees _____ | 15,005,400 | 14,305,000 | 14,305,000 |
| _____ | | | |
| _____ | | | |
| _____ | | | |
| Total Fee Collection to Line (A) - Section III | 15,005,400 | 14,305,000 | 14,305,000 |

| <u>SECTION II - FULL COSTS</u> | | | |
|---|-------------------|-------------------|-------------------|
| <u>Direct Costs:</u> | | | |
| Salaries and Benefits | 348,497 | 396,329 | 398,180 |
| Other Personal Services | | | |
| Expenses | 76,085 | 135,350 | 135,350 |
| Operating Capital Outlay | | 3,150 | 3,150 |
| Assessment and Evaluation | 13,425,229 | 13,783,900 | 13,783,900 |
| Contracted Services | 1,669,832 | 4,242,250 | 4,242,250 |
| Risk Management Insurance | 1,381 | 1,525 | 1,525 |
| TR/DMS/HR SVCS/STW Contract | 1,844 | 1,770 | 1,770 |
| Data Processing Services - Edu Tech | 41,224 | 68,478 | 68,592 |
| Northwest Regional DC | 41,987 | 42,045 | 42,045 |
| Indirect Costs Charged to Trust Fund | | | |
| Total Full Costs to Line (B) - Section III | 15,606,079 | 18,674,797 | 18,676,762 |

Basis Used: _____

| <u>SECTION III - SUMMARY</u> | | | | |
|-------------------------------------|-----|------------------|--------------------|--------------------|
| TOTAL SECTION I | (A) | 15,005,400 | 14,305,000 | 14,305,000 |
| TOTAL SECTION II | (B) | 15,606,079 | 18,674,797 | 18,676,762 |
| TOTAL - Surplus/Deficit | (C) | (600,679) | (4,369,797) | (4,371,762) |

EXPLANATION of LINE C:

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

| | |
|-----------------------------|---|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | TEACHER CERTIFICATION EXAMINATION TRUST FUND |
| Budget Entity: | DEPARTMENT |
| LAS/PBS Fund Number: | 2727 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|----------------------|
| Chief Financial Officer's (CFO) Cash Balance | 134,671 | (A) | | 134,671 |
| ADD: Other Cash (See Instructions) | 70,585 | (B) | | 70,585 |
| ADD: Investments | 18,128,525 | (C) | | 18,128,525 |
| ADD: Outstanding Accounts Receivable | 27,771 | (D) | | 27,771 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 18,361,552 | (F) | - | 18,361,552 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | 42,712 | (H) | | 42,712 |
| Approved "B" Certified Forwards | 7,799,744 | (H) | | 7,799,744 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 1,747 | (I) | | 1,747 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 10,517,349 | (K) | - | 10,517,349 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|---|-------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | TEACHER CERTIFICATION EXAMINATION TRUST FUND | |
| LAS/PBS Fund Number: | 2727 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|---|-------------------|-----|
| Total all GLC's 5XXXX for governmental funds; | 18,293,764 | (A) |
| GLC 539XX for proprietary and fiduciary funds | | |

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|--------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (7,799,744) | (D) |
|---|--------------------|-----|

| | | |
|--|--|-----|
| Approved FCO Certified Forward per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | | (D) |
|----------------------------------|--|-----|

| | | |
|-----------------------------------|---------------|-----|
| COMPENSATED ABSENCE LI AB I LI TY | 23,329 | (D) |
|-----------------------------------|---------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 10,517,349 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 10,517,349 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2019 - 2020

| | |
|-----------------------------|-----------------------------------|
| Department Title: | 48 EDUCATION |
| Trust Fund Title: | WORKING CAPITAL TRUST FUND |
| Budget Entity: | DEPARTMENT |
| LAS/PBS Fund Number: | 2792 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 22,184 | (A) | | 22,184 |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | 3,016,868 | (C) | | 3,016,868 |
| ADD: Outstanding Accounts Receivable | 3,567 | (D) | | 3,567 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 3,042,619 | (F) | - | 3,042,619 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | 666,529 | (H) | | 666,529 |
| Approved "B" Certified Forwards | 740,273 | (H) | | 740,273 |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 224 | (I) | | 224 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 1,635,593 | (K) | - | 1,635,593 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|-----------------------------------|-------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | WORKING CAPITAL TRUST FUND | |
| LAS/PBS Fund Number: | 2792 | DEPARTMENT |

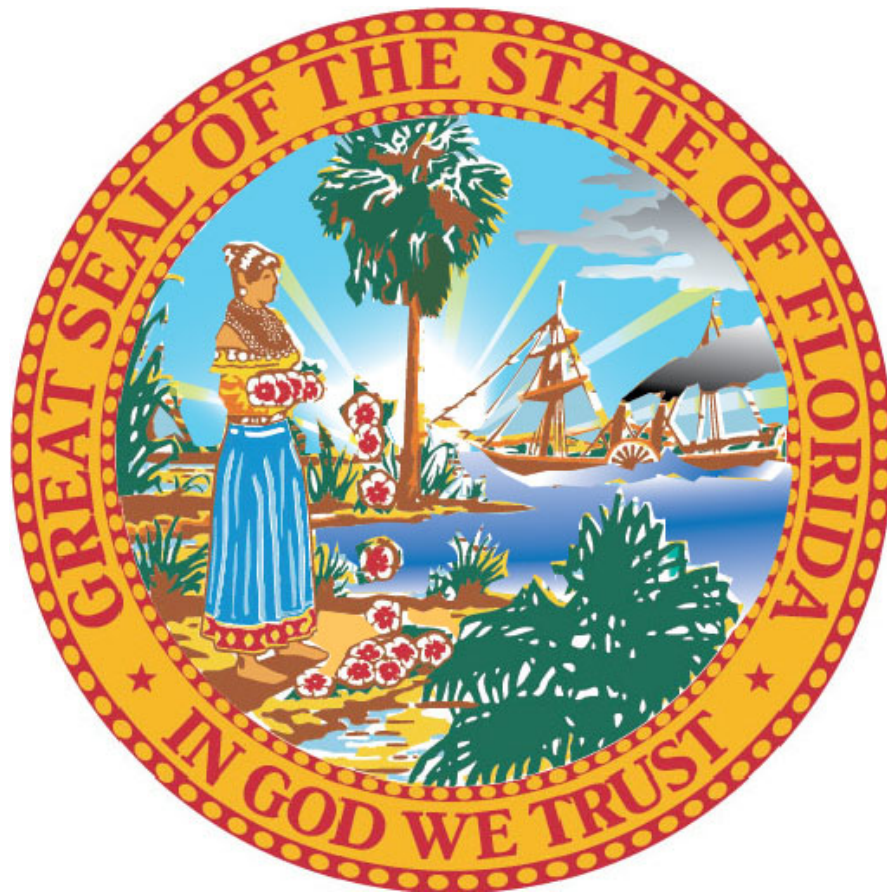
BEGINNING TRIAL BALANCE:

| | |
|--|--|
| Total Fund Balance Per FLAIR Trial Balance, 07/01/18 | |
| Total all GLC's 5XXXX for governmental funds; | <input type="text" value="1,539,511"/> (A) |
| GLC 539XX for proprietary and fiduciary funds | |
| Subtract Nonspendable Fund Balance (GLC 56XXX) | <input type="text"/> (B) |
| Add/Subtract Statewide Financial Statement (SWFS) Adjustments : | |
| SWFS Adjustment # and Description | <input type="text"/> (C) |
| SWFS Adjustment # and Description | <input type="text"/> (C) |
| Add/Subtract Other Adjustment(s): | |
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | <input type="text" value="(740,273)"/> (D) |
| Approved FCO Certified Forward per LAS/PBS | <input type="text"/> (D) |
| A/P not C/F-Operating Categories | <input type="text" value="18,847"/> (D) |
| COMPENDATED ABSENCES | <input type="text" value="817,508"/> (D) |
| | <input type="text"/> (D) |
| | <input type="text"/> (D) |
| ADJUSTED BEGINNING TRIAL BALANCE: | <input type="text" value="1,635,593"/> (E) |
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | <input type="text" value="1,635,593"/> (F) |
| DIFFERENCE: | <input type="text" value="0.00"/> (G)* |

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR RISK ASSESSMENT MITIGATION

For Fiscal Year 2019 -20



October 16, 2018


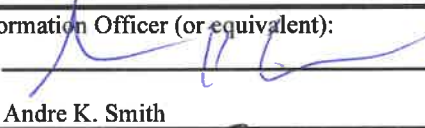
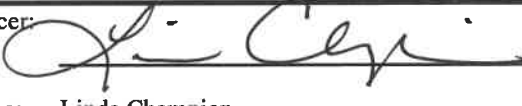

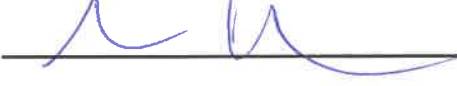
DEPARTMENT OF EDUCATION

Contents

- I. Schedule IV-B Cover Sheet 2
 - General Guidelines..... 3
 - Documentation Requirements..... 3
- II. Schedule IV-B Business Case – Strategic Needs Assessment..... 4
 - A. Background and Strategic Needs Assessment 4
 - 1. Business Need 4
 - 2. Business Objectives..... 4
 - B. Baseline Analysis..... 4
 - 1. Current Business Process(es) 4
 - 2. Assumptions and Constraints 5
 - C. Proposed Business Process Requirements 5
 - 1. Proposed Business Process Requirements..... 5
 - 2. Business Solution Alternatives..... 5
 - 3. Rationale for Selection 5
 - 4. Recommended Business Solution 5
 - D. Functional and Technical Requirements..... 6
- III. Success Criteria 6
- IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis..... 7
 - A. Benefits Realization Table..... 7
 - B. Cost Benefit Analysis (CBA)..... 8
- V. Schedule IV-B Major Project Risk Assessment..... 8
- VI. Schedule IV-B Technology Planning 10
 - A. Current Information Technology Environment 10
 - 1. Current System 10
 - 2. Information Technology Standards 10
 - B. Current Hardware and/or Software Inventory..... 11
 - C. Proposed Solution Description 11
 - 1. Summary Description of Proposed System 11
 - 2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)..... 11
- VII. Schedule IV-B Project Management Planning 12
- VIII. Appendices 12

SCHEDULE IV-B FOR RISK ASSESSMENT MITIGATION

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|---|
| Agency: Department of Education | Schedule IV-B Submission Date: 10/16/2018 |
| Project Name: Division of Technology & Innovation – Risk Assessment Mitigation | Is this project included in the Agency’s LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2019-20 LBR Issue Code: | FY 2019-20 LBR Issue Title: Risk Assessment Mitigation |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andre K. Smith, 850-245-0428, Andre.Smith@fldoe.org | |
| 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: Pamela Stewart | |
| Agency Chief Information Officer (or equivalent):  | Date: 10/17/18 |
| Printed Name: Andre K. Smith | |
| Budget Officer:  | Date: |
| Printed Name: Linda Champion | |
| Planning Officer:  | Date: 10/17/18 |
| Printed Name: Cassandra Grayson | |
| Project Sponsor:  | Date: |
| Printed Name: Andre K. Smith | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: | Andre K. Smith, Andre.Smith@fldoe.org , 850-245-0428 |
| Cost Benefit Analysis: | Andre K. Smith, Andre.Smith@fldoe.org , 850-245-0428 |
| Risk Analysis: | Cassandra J. Grayson, Cassandra.Grayson@fldoe.org , 850-245-9573 |
| Technology Planning: | Kevin Younger, Kevin.Younger@fldoe.org , 850-245-9934 |
| Project Planning: | Cassandra J. Grayson, Cassandra.Grayson@fldoe.org , 850-245-9573 |

General Guidelines

The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the D-3A issue narrative submitted with an agency's Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is \$1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Technical Solution
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4)(a)10, F.S. is also required if the total cost for all years of the project is \$10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

Submit all component files of the agency's Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@LASPBS.STATE.FL.US. Reference the D-3A issue code and title in the subject line.

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

A. Background and Strategic Needs Assessment

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

1. Business Need

As required by 2016-17 General Appropriations Act (1961B), the Florida Department of Education (FDOE) contracted with an independent security and risk management firm to assess the department's Information Technology (IT) Security Program. The assessment identified information security and risk management gaps that FDOE needs to address in order to improve the maturity of the overall security program. If this legislative budget request is not funded, a wide range of sensitive data of employees, students and teachers could be targets for cyber-attacks and compromised. Thus, FDOE information security needs staff and resources in order to stay ahead of existing and developing threats.

2. Business Objectives

Every day, malicious entities breach systems and compromise sensitive personal information. We must seek approval for the funds to facilitate the development of stronger, more robust security and privacy programs and provide a unified approach for protecting all types of information, including personal information. From the findings of recent audits and risk assessments, it is clear that FDOE must improve the following areas to protect FDOE's sensitive and confidential data:

- Enhance firewalls
- Upgrade antivirus protection
- Update FDOE's programs regularly
- Secure FDOE laptops
- Secure mobile phones
- Backup FDOE data regularly
- Monitor diligently to protect against cyber-attacks and system breaches

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

B. Baseline Analysis

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

1. Current Business Process(es)

Current business processes are segmented throughout the Department in regards to security monitoring and management ranging from minimal security to industry standard security. Security incidents are detected and responded to differently throughout the environments which often times create delays to proper mitigation.

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

2. Assumptions and Constraints

Obtaining the same level of security for all segmented IT structures individually would not be possible due to varying degrees of technology and budget constraints.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

Continue improving upon current information security plan through enterprise solutions around the following areas:

- Establish high-level security governance processes that protect IT and information assets while removing the barriers to productivity through well-understood management processes and governance principles.
- Comprehensive enterprise standards and strategy for IT architecture zoning.
- Comprehensive program for proactive vulnerability identification, reporting, and remediation.
- Comprehensive enterprise platform build and security-hardening processes.
- Technologically enforced identity and access management.

2. Business Solution Alternatives

Individually upgrade existing segmented systems to the same level as the Department's information security solution creating additional licensing and maintenance costs above and beyond what maintaining one system would cost.

3. Rationale for Selection

Selection is based on independent risk assessment conducted by Gartner.

4. Recommended Business Solution

Using the baseline information gathered during the risk assessment, Gartner was able to identify the maturity of various aspects of the IT Security program as well as strategic gaps that exist between current-state capabilities, the desired future-state requirements, and industry leading practices. Analysis of the gaps conducted from a standpoint of Gartner's Reference Architecture for Security and Risk Management produced a set of findings and recommendations for enhancing the maturity of the existing IT Security program. These recommendations are intended to remain consistent with FDOE principles. The results of the gap assessment and the associated recommendations are documented in the Gartner report, "Security Assessment Report – Findings and Recommendations" dated 26 February 2017.

Gartner's solution recommendations identified during the gap and maturity analysis task were organized into a high-level, strategic deployment roadmap depicting the sequence and dependencies of actions required for achieving the desired strategy and architecture. The process for developing the detailed deployment plan and strategy necessary for achieving the desired results leveraged professional project management practices, Gartner's extensive research and advisory service, as well as our understanding of what other like-industry institutions are doing to deploy similar capabilities and technologies. The planning of the deployment phases was designed to deliver a modular, appropriately encompassing architecture implemented over an

achievable, phased timeline. The recommended deployment plan is intended to be consistent with the FDOE short and long-term business drivers and requirements as defined during the baseline assessment.

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

D. Functional and Technical Requirements

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

Include through file insertion or attachment the functional and technical requirements analyses documentation developed and completed by the agency.

Expanding the Department’s existing information security plan to encompass all currently segmented security services.

III. Success Criteria

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

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|--|---------------|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 1 | Acquire and deploy commercial, enterprise-class host-based intrusion detection/prevention monitoring solution. | Assessed against Florida Cybersecurity Standards | FDOE | 06/20 |
| 2 | Employ encryption technology to protect sensitive data-at-rest, in accordance with the enterprise data classification policy, on all enterprise and organization-specific desktops and laptops | Assessed against Florida Cybersecurity Standards | FDOE | 12/20 |
| 3 | Establish an enterprise policy and direct the development and maintenance of an organizational Security Management Plan (SMP) that defines the overall information protection program as it relates to security and privacy, and explicitly describes applicability of security and privacy policy to | Assessed against Florida Cybersecurity Standards | FDOE | 06/21 |

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|--|------|-------|
| | enterprise business processes. | | | |
| 4 | Deploy network-based controls and device authentication to restrict access based on device and user identity. | Assessed against Florida Cybersecurity Standards | FDOE | 12/20 |
| 5 | Expand current vulnerability scanning processes by establishing a formal, comprehensive enterprise vulnerability scanning and testing program that includes regular and periodic vulnerability scanning of all operational applications, platforms, and devices operating in production as well prior to placing any applications, platforms, or devices into production. | Assessed against Florida Cybersecurity Standards | FDOE | 12/20 |
| 6 | Enhance current monitoring capabilities by expanding existing Security Information and Event Management (SIEM) capabilities | Assessed against Florida Cybersecurity Standards | FDOE | 12/20 |
| 7 | Establish and document formal enterprise security policy and standards for mobile handheld devices and device configuration management | Assessed against Florida Cybersecurity Standards | FDOE | 12/20 |

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

A. Benefits Realization Table

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

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|------------------------|---------------------------|--------------------------|---------------------------------------|--------------------------|
| # | Description of Benefit | Who receives the benefit? | How is benefit realized? | How is the realization of the benefit | Realization Date (MM/YY) |

| BENEFITS REALIZATION TABLE | | | | | |
|----------------------------|---|-----------------------------|--------------------------|-----------------|-------|
| | | | | measured? | |
| 1 | More robust information security plan | Employees/Students/Teachers | Risk Assessment Maturity | Risk Assessment | 06/21 |
| 2 | Reduced potential for cyber-attacks and system breaches | Employees/Students/Teachers | Risk Assessment Maturity | Risk Assessment | 06/21 |

B. Cost Benefit Analysis (CBA)

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

The chart below summarizes the required CBA Forms which are included as [Appendix A](#) on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

| Cost Benefit Analysis | |
|---|--|
| Form | Description of Data Captured |
| CBA Form 1 - Net Tangible Benefits | <p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p> |
| CBA Form 2 - Project Cost Analysis | <p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p> |
| CBA Form 3 - Project Investment Summary | <p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return |

V. Schedule IV-B Major Project Risk Assessment

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate

SCHEDULE IV-B FOR RISK ASSESSMENT MITIGATION

risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides an assessment of the project's alignment with business objectives.

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

The Risk Assessment Tool and Risk Assessment Summary are included in [Appendix B](#) on the Florida Fiscal Portal and must be completed and submitted with the agency's Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

IT resources are located primarily at the Northwest Regional Data Center (NWRDC) in Tallahassee, and managed by Florida State University (FSU). The NWRDC manages both server resources and much of the network infrastructure used by FDOE. Approximately 600 servers are supported, spanning Windows 2003 through Windows 2012. FDOE has Oracle managed services at the Agency for State Technology (AST) at the State Data Center (SDC) in the Southwood region of Tallahassee. An IBM mainframe is managed by the NWRDC.

A multi-layered network protection architecture uses a combination of Cisco Adaptive Security Appliance (ASA) devices and SonicWall firewalls as well as iSensor Intrusion Prevention System (IPS) appliances. The network is monitored by Dell SecureWorks, a managed security services provider. Several of the Department's business areas (Enterprise, Division of Blind Services (DBS), Division of Vocational Rehabilitation (VR), Office of Student Financial Assistance (OSFA), Office of Early Learning (OEL)) have additional layers of protection managed by the Divisions themselves.

b. Current System Resource Requirements

Currently, the divisions and offices such as the Office of Student Financial Assistance (OSFA), Division of Blind Services (DBS), Office of Early Learning (OEL), and Vocational Rehabilitation (VR) are running their own separate security environment, and they lack the staff, expertise, and/or funding to maintain a mature security architecture.

c. Current System Performance

Performance monitoring systems are not in place for the entire environment.

2. Information Technology Standards

Information Technology Standards Consist of:

- Onsite Next Generation Firewall with Deep Packet Inspection
- 24/7 365 Monitoring and Incident Response Services
- Intrusion Detection and Prevention Services
- Network through Application Layer Monitoring and Controls
- Application, System, and Database Vulnerability Scanning
- Network Access Controls
- Gateway, endpoint and hypervisor antivirus/spyware and web filtering
- Content Filtering
- URL Filtering
- Enterprise wide system and performance management
- Log monitoring, filtering and analysis
- Centralized SSL VPN from central firewall
- Cloud assisted Onsite behavioral behavioral-based ATA inspection in Next Generation Firewall

B. Current Hardware and/or Software Inventory

NOTE: Current customers of the state data center would obtain this information from the data center.

FDOE’s application development standard is the .NET platform. Applications developed internally are primarily developed using Microsoft Visual Studio using the .NET framework with Microsoft SQL Server backend databases.

C. Proposed Solution Description

1. Summary Description of Proposed System

The proposed enhancements will consists of a state of the art security monitoring, updated processes and procedures, and management system that will be continually refreshed and upgraded as time moves forward in order to support the entire Department. This will ensure the best possible overall security the Department can provide without the need to repeat this process throughout segmented infrastructures.

This enterprise solution will adopt the following security standards:

- Monitor and protect against network through application layer threats
- Enable centralized log management
- Gain access to critical threat intelligence
- Rapidly baseline the entire departments risk
- Scale services up and down as the infrastructure grows or shrinks
- Centralize remote access
- Web Application Scanning
- System Vulnerability Scanning
- Antivirus/Spyware monitoring and analysis at the gateway and endpoint devices
- Network access control for enhancement of mobile device management efforts
- Monitoring of accidental confidential data movement in clear text

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

Recurring Costs

| | |
|--------------------------------------|------------------------|
| Services, subscriptions, maintenance | \$ 740,000.00 |
| Staffing (FTE's and Contractors) | <u>\$ 1,319,099.00</u> |
| Total Recurring Costs | \$ 2,059,099.00 |

One-Time Initial Total Costs - Year One

| | |
|------------------------------|----------------------|
| Recurring Costs | \$ 2,059,099.00 |
| Capital Expenses | \$ 780,244.00 |
| Temporary Staffing | <u>\$ 361,600.00</u> |
| Total Amount to be Requested | \$ 3,200,943.00 |

VII. Schedule IV-B Project Management Planning

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

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

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

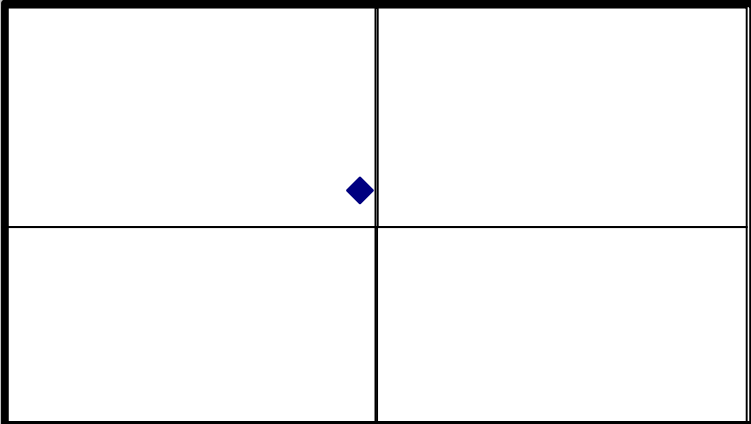
VIII. Appendices

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

A: Risk Assessment _ Risk Assessment Mitigation

B: Cost Benefits Analysis

C: Project Management Plan

| | B | C | D | E | F | G | H |
|----|---|---|-----------------------------------|------------------------------------|---|-------------------|----------------------|
| 3 | Project | | <i>Risk Assessment Mitigation</i> | | | | |
| 4 | | | | | | | |
| 5 | Agency | | <i>Department of Education</i> | | | | |
| 6 | FY 2019-20 LBR Issue Code: | | | FY 2019-20 LBR Issue Title: | | | |
| 7 | <i>Issue Code</i> | | | <i>Risk Assessment Mitigation</i> | | | |
| 8 | Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | | | | | |
| 9 | <i>Andre K. Smith, 850-245-0428, Andre.smith@fldoe.org</i> | | | | | | |
| 10 | Executive Sponsor | | <i>Andre K. Smith</i> | | | | |
| 11 | Project Manager | | <i>Cassandra J. Grayson</i> | | | | |
| 12 | Prepared By | | <i>Cassandra J. Grayson</i> | | | <i>10/15/2018</i> | |
| 14 | Risk Assessment Summary | | | | | | |
| 15 |  | | | | | | |
| 16 | | | | | | | |
| 17 | | | | | | | |
| 18 | | | | | | | |
| 19 | | | | | | | |
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| 26 | | | | | | | |
| 27 | | | | | | | |
| 28 | | | | | | | |
| 29 | | | | | | | |
| 30 | Level of Project Risk | | | | | | |
| 31 | | | | | | | |
| 32 | | | | | | | |
| 34 | Project Risk Area Breakdown | | | | | | |
| 35 | Risk Assessment Areas | | | | | | <i>Risk Exposure</i> |
| 36 | Strategic Assessment | | | | | | MEDIUM |
| 37 | | | | | | | |
| 38 | Technology Exposure Assessment | | | | | | MEDIUM |
| 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 | | | | | | MEDIUM |
| 49 | | | | | | | |
| 50 | Project Complexity Assessment | | | | | | MEDIUM |
| 51 | | | | | | | |
| 52 | | | | | | | |
| 53 | Overall Project Risk | | | | | | MEDIUM |

| | B | C | D | E |
|----|---------------------------------|---|--|---|
| 1 | Agency: Department of Education | | Project: Risk Assessment Mitigation | |
| 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 | Most regularly attend executive steering committee meetings |
| 12 | | | Most regularly attend executive steering committee meetings | |
| 13 | | | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings | |
| 14 | 1.04 | Has the agency documented its vision for how changes to the proposed technology will improve its business processes? | Vision is not documented | Vision is partially documented |
| 15 | | | Vision is partially documented | |
| 16 | | | Vision is completely documented | |
| 17 | 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 41% to 80% -- Some defined and documented |
| 18 | | | 41% to 80% -- Some defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all defined and documented | |
| 20 | 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | 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 | Multiple agency or state enterprise visibility |
| 32 | | | Single agency-wide use or visibility | |
| 33 | | | Use or visibility at division and/or bureau level only | |
| 34 | 1.10 | Is this a multi-year project? | Greater than 5 years | Between 3 and 5 years |
| 35 | | | Between 3 and 5 years | |
| 36 | | | Between 1 and 3 years | |
| 37 | | | 1 year or less | |

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| 1 | Agency: Department of Education | | Project: Risk Assessment Mitigation | |
| 3 | Section 2 -- Technology Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 2.01 | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment? | Read about only or attended conference and/or vendor presentation | Installed and supported production system more than 3 years |
| 6 | | | Supported prototype or production system less than 6 months | |
| 7 | | | Supported production system 6 months to 12 months | |
| 8 | | | Supported production system 1 year to 3 years | |
| 9 | | | Installed and supported production system more than 3 years | |
| 10 | 2.02 | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations | External technical resources will be needed through implementation only |
| 11 | | | External technical resources will be needed through implementation only | |
| 12 | | | Internal resources have sufficient knowledge for implementation and operations | |
| 13 | 2.03 | Have all relevant technical alternatives/ solution options been researched, documented and considered? | No technology alternatives researched | Some 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 | Moderate 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 | |

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| 1 | Agency: Department of Education | | Project: Risk Assessment Mitigation | |
| 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 | Minimal changes to organization structure, staff or business processes structure |
| 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 | No |
| 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 | No |
| 14 | | | No | |
| 15 | 3.05 | Will the agency's anticipated FTE count change as a result of implementing the project? | Over 10% FTE count change | Less than 1% FTE count change |
| 16 | | | 1% to 10% FTE count change | |
| 17 | | | Less than 1% FTE count change | |
| 18 | 3.06 | Will the number of contractors change as a result of implementing the project? | Over 10% contractor count change | 1 to 10% contractor count change |
| 19 | | | 1 to 10% contractor count change | |
| 20 | | | Less than 1% contractor count change | |
| 21 | 3.07 | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented? | Extensive change or new way of providing/receiving services or information) | 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 | |

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| 1 | Agency: Agency Name | | Project: Project Name | |
| 3 | Section 4 -- Communication Area | | | |
| 4 | # | Criteria | Value Options | Answer |
| 5 | 4.01 | Has a documented Communication Plan been approved for this project? | Yes | No |
| 6 | | | No | |
| 7 | 4.02 | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan | Routine 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 | |

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| 1 | Agency: Department of Education | | Project: Risk Assessment Mitigation | |
| 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 | Not applicable |
| 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 | No payback |
| 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) | Time and Expense (T&E) |
| 42 | | | Firm Fixed Price (FFP) | |
| 43 | | | Combination FFP and T&E | |
| 44 | 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Just-in-time purchasing of 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 is the procurement manager |
| 48 | | | Contract manager is the procurement manager | |
| 49 | | | Contract manager is the project manager | |
| 50 | | | Contract manager assigned is not the procurement manager or the project manager | |
| 51 | 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes | No |
| 52 | | | No | |
| 53 | 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified | 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 | Procurement strategy has not been developed |
| 57 | | | Multi-stage evaluation not planned/used for procurement | |
| 58 | | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 59 | 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | Not applicable |
| 60 | | | No, bid response did/will not require proof of concept or prototype | |
| 61 | | | Yes, bid response did/will include proof of concept or prototype | |
| 62 | | | Not applicable | |
| 63 | | | | |
| 64 | | | | |
| 65 | | | | |
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| 1 | Agency: Department of Education | | Project: Risk Assessment Mitigation | |
| 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 | None or few have been defined and documented |
| 8 | | | Some have been defined and documented | |
| 9 | | | All or nearly all have been defined and documented | |
| 10 | 6.03 | Who is responsible for integrating project deliverables into the final solution? | Not yet determined | Agency |
| 11 | | | Agency | |
| 12 | | | System Integrator (contractor) | |
| 13 | 6.04 | How many project managers and project directors will be responsible for managing the project? | 3 or more | 3 or more |
| 14 | | | 2 | |
| 15 | | | 1 | |
| 16 | 6.05 | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified | Some or most staff roles and responsibilities and needed skills have been identified |
| 17 | | | Some or most staff roles and responsibilities and needed skills have been identified | |
| 18 | | | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented | |
| 19 | 6.06 | Is an experienced project manager dedicated fulltime to the project? | No experienced project manager assigned | Yes, experienced project manager dedicated full-time, 100% to project |
| 20 | | | No, project manager is assigned 50% or less to project | |
| 21 | | | No, project manager assigned more than half-time, but less than full-time to project | |
| 22 | | | Yes, experienced project manager dedicated full-time, 100% to project | |
| 23 | 6.07 | Are qualified project management team members dedicated full-time to the project | None | Yes, business, functional or technical experts dedicated full-time, 100% to project |
| 24 | | | No, business, functional or technical experts dedicated 50% or less to project | |
| 25 | | | No, business, functional or technical experts dedicated more than half-time but less than full-time to project | |
| 26 | | | Yes, business, functional or technical experts dedicated full-time, 100% to project | |
| 27 | 6.08 | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources? | Few or no staff from in-house resources | 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 | |

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| 1 | Agency: Department of Education | | Project: Risk Assessment Mitigation | |
| 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 | No |
| 6 | | | Project Management team will use the methodology selected by the systems integrator | |
| 7 | | | Yes | |
| 8 | 7.02 | For how many projects has the agency successfully used the selected project management methodology? | None | More than 3 |
| 9 | | | 1-3 | |
| 10 | | | More than 3 | |
| 11 | 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | All or nearly all |
| 12 | | | Some | |
| 13 | | | All or nearly all | |
| 14 | 7.04 | Have all requirements specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 15 | | | 41 to 80% -- Some have been defined and documented | |
| 16 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 17 | 7.05 | Have all design specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 18 | | | 41 to 80% -- Some have been defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 20 | 7.06 | Are all requirements and design specifications traceable to specific business rules? | 0% to 40% -- None or few are traceable | 41 to 80% -- Some are traceable |
| 21 | | | 41 to 80% -- Some are traceable | |
| 22 | | | 81% to 100% -- All or nearly all requirements and specifications are traceable | |
| 23 | 7.07 | Have all project deliverables/services and acceptance criteria been clearly defined and documented? | None or few have been defined and documented | Some deliverables and acceptance criteria have been defined and documented |
| 24 | | | Some deliverables and acceptance criteria have been defined and documented | |
| 25 | | | All or nearly all deliverables and acceptance criteria have been defined and documented | |
| 26 | 7.08 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 | | | Only project manager signs-off | |
| 28 | | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 29 | 7.09 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities? | 0% to 40% -- None or few have been defined to the work package level | 0% to 40% -- None or few have been defined to the work package level |
| 30 | | | 41 to 80% -- Some have been defined to the work package level | |
| 31 | | | 81% to 100% -- All or nearly all have been defined to the work package level | |
| 32 | 7.10 | Has a documented project schedule been approved for the entire project lifecycle? | Yes | No |
| 33 | | | No | |
| 34 | 7.11 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources? | Yes | No |
| 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 | |

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| 1 | Agency: Department of Education | | Project: Risk Assessment Mitigation | |
| 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 | Similar complexity |
| 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 | Single location |
| 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 | 5 to 8 |
| 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 | Statewide or multiple agency business process change |
| 27 | | | Agency-wide business process change | |
| 28 | | | Statewide or multiple agency business process change | |
| 29 | 8.08 | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator? | Yes | 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 | |

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|-----------|---------|----------------------------|
| Agency | Education | Project | Risk Assessment Mitigation |
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| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency (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 | \$1,319,099 | \$1,319,099 | \$1,319,099 | \$0 | \$1,319,099 | \$1,319,099 | \$0 | \$1,319,099 | \$1,319,099 | \$0 | \$1,319,099 | \$1,319,099 | \$0 | \$1,319,099 |
| A.b Total Staff | 0.00 | 10.00 | 10.00 | 10.00 | 0.00 | 10.00 | 11.00 | 0.00 | 10.00 | 10.00 | 0.00 | 10.00 | 10.00 | 0.00 | 10.00 |
| A-1.a. State FTEs (Salaries & Benefits) | \$0 | \$867,099 | \$867,099 | \$867,099 | \$0 | \$867,099 | \$867,099 | \$0 | \$867,099 | \$867,099 | \$0 | \$867,099 | \$867,099 | \$0 | \$867,099 |
| A-1.b. State FTEs (#) | 0.00 | 8.00 | 8.00 | 8.00 | 0.00 | 8.00 | 9.00 | 0.00 | 8.00 | 8.00 | 0.00 | 8.00 | 8.00 | 0.00 | 8.00 |
| 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 | \$452,000 | \$452,000 | \$452,000 | \$0 | \$452,000 | \$452,000 | \$0 | \$452,000 | \$452,000 | \$0 | \$452,000 | \$452,000 | \$0 | \$452,000 |
| A-3.b. Staff Augmentation (# of Contractors) | 0.00 | 2.00 | 2.00 | 2.00 | 0.00 | 2.00 | 2.00 | 0.00 | 2.00 | 2.00 | 0.00 | 2.00 | 2.00 | 0.00 | 2.00 |
| B. Application Maintenance Costs | \$0 | \$666,000 | \$666,000 | \$666,000 | \$0 | \$666,000 | \$666,000 | \$0 | \$666,000 | \$666,000 | \$0 | \$666,000 | \$666,000 | \$0 | \$666,000 |
| 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 | \$224,000 | \$224,000 | \$224,000 | \$0 | \$224,000 | \$224,000 | \$0 | \$224,000 | \$224,000 | \$0 | \$224,000 | \$224,000 | \$0 | \$224,000 |
| B-4. Other <i>Security Solutions</i> | \$0 | \$442,000 | \$442,000 | \$442,000 | \$0 | \$442,000 | \$442,000 | \$0 | \$442,000 | \$442,000 | \$0 | \$442,000 | \$442,000 | \$0 | \$442,000 |
| C. Data Center Provider Costs | \$0 | \$44,000 | \$44,000 | \$44,000 | \$0 | \$44,000 | \$44,000 | \$0 | \$44,000 | \$44,000 | \$0 | \$44,000 | \$44,000 | \$0 | \$44,000 |
| 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 | \$44,000 | \$44,000 | \$44,000 | \$0 | \$44,000 | \$44,000 | \$0 | \$44,000 | \$44,000 | \$0 | \$44,000 | \$44,000 | \$0 | \$44,000 |
| 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 | \$30,000 | \$30,000 | \$30,000 | \$0 | \$30,000 | \$30,000 | \$0 | \$30,000 | \$30,000 | \$0 | \$30,000 | \$30,000 | \$0 | \$30,000 |
| E-1. Training | \$0 | \$30,000 | \$30,000 | \$30,000 | \$0 | \$30,000 | \$30,000 | \$0 | \$30,000 | \$30,000 | \$0 | \$30,000 | \$30,000 | \$0 | \$30,000 |
| 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 | \$2,059,099 | \$2,059,099 | \$2,059,099 | \$0 | \$2,059,099 | \$2,059,099 | \$0 | \$2,059,099 | \$2,059,099 | \$0 | \$2,059,099 | \$2,059,099 | \$0 | \$2,059,099 |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-1. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | (\$2,059,099) | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B | | | |
|--|-------------------------------------|------------------|-----|
| Choose Type | Estimate Confidence | Enter % (+/-) | |
| Detailed/Rigorous | <input type="checkbox"/> | Confidence Level | |
| Order of Magnitude | <input checked="" type="checkbox"/> | Confidence Level | 95% |
| 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 | Education | Risk Assessment Mitigation | | 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. | | | FY2019-20 | | | FY2020-21 | | | FY2021-22 | | | FY2022-23 | | | FY2023-24 | | | TOTAL | | |
| 3 | \$ - | | | \$ 1,141,844 | | | \$ - | | | \$ - | | | \$ - | | | \$ - | | | \$ 1,141,844 | | |
| 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 | Staffing costs for personnel using Time & Expense. | Staff Augmentation | Contracted Services | \$ - | 3.00 | \$ 361,600 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 361,600 |
| 8 | Project management personnel and related deliverables. | Project Management | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - |
| 9 | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | 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 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - |
| 11 | Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - |
| 12 | Hardware purchases not included in data center services. | Hardware | OCO | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - |
| 13 | Commercial software purchases and licensing costs. | Commercial Software | Contracted Services | \$ - | | \$ 695,000 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 695,000 |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - |
| 15 | All first-time training costs associated with the project. | Training | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ - | | \$ 50,000 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 50,000 |
| 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 | \$ - | | \$ 35,244 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 35,244 |
| 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 | | | \$ - | 3.00 | \$ 1,141,844 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 1,141,844 |

CBAForm 2 - Project Cost Analysis

| | |
|-------------------------|---|
| Agency <u>Education</u> | Project <u>Risk Assessment Mitigation</u> |
|-------------------------|---|

| 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 (*) | \$1,141,844 | \$0 | \$0 | \$0 | \$0 | \$1,141,844 |
| CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small> | \$1,141,844 | \$1,141,844 | \$1,141,844 | \$1,141,844 | \$1,141,844 | |
| 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 type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| CUMULATIVE INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

| Characterization of Project Cost Estimate - CBAForm 2C | | | |
|--|---------------------|---------------|-----|
| Choose Type | Estimate Confidence | Enter % (+/-) | |
| Detailed/Rigorous | Confidence Level | | |
| Order of Magnitude | Confidence Level | x | 95% |
| Placeholder | Confidence Level | | |

CBAForm 3 - Project Investment Summary

| | | | |
|--------|-----------|---------|----------------------------|
| Agency | Education | Project | Risk Assessment Mitigation |
|--------|-----------|---------|----------------------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A | | | | | | |
|---|---------------|---------------|---------------|---------------|---------------|------------------------|
| | FY 2019-20 | FY 2020-21 | FY 2021-22 | FY 2022-23 | FY 2023-24 | TOTAL FOR ALL YEARS |
| Project Cost | \$1,141,844 | \$0 | \$0 | \$0 | \$0 | \$1,141,844 |
| Net Tangible Benefits | (\$2,059,099) | \$0 | \$0 | \$0 | \$0 | (\$2,059,099) |
| Return on Investment | (\$3,200,943) | \$0 | \$0 | \$0 | \$0 | (\$3,200,943) |
| Year to Year Change in Program Staffing | 10 | 0 | 0 | 0 | 0 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|---|---------------|---|
| Payback Period (years) | NO PAYBACK | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | NO PAYBACK | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | (\$3,140,026) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | NO IRR | IRR is the project's rate of return. |

| Investment Interest Earning Yield -- CBAForm 3C | | | | | |
|---|---------------|---------------|---------------|---------------|---------------|
| Fiscal Year | FY 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% |



Project Management Plan

Risk Assessment Mitigation Project Department of Education

Contact Information

To request copies, suggest changes, or submit corrections, contact:
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Revision History

| Date | Version | Revised By | Description |
|------------|---------|----------------------|---------------------------------|
| 10/17/2018 | .1 | Cassandra J. Grayson | Revised from w/ Master Template |
| | | | |

Table of Contents

| | |
|---------------------------------------|----|
| 1. Introduction..... | 3 |
| 2. Project Charter..... | 4 |
| 2.1 Overview..... | 4 |
| 2.2 Project Charter..... | 4 |
| 3. Scope Management Plan..... | 5 |
| 3.1 Scope Management Plan..... | 5 |
| 4. Work Breakdown Structure | 6 |
| 5. Resource Breakdown Structure | 7 |
| 6. Master Project Schedule..... | 8 |
| 6.1 Schedule Management Plan..... | 8 |
| 7. Work Management Plan..... | 12 |
| 8. Spending Management Plan..... | 13 |
| 8.1 Spending Plan | 13 |
| 9. Communication Plan..... | 13 |
| 10. Risk Management Plan | 14 |
| 10.1 Risk Definition | 18 |
| 10.2 Risk Management Plan | 18 |
| 11. Issue Management Plan..... | 19 |
| 11.1 Issue Definition..... | 19 |
| 11.2 Issue Management Plan..... | 19 |
| 12. Quality Management Plan | 23 |
| 13. Change Management Plan..... | 25 |
| 14. Procurement Management Plan..... | 32 |

Introduction

The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Division of Technology & Innovation - Risk Assessment Mitigation (RAM) Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

- Introduction
- Project Charter
- Scope Management Plan
- Work Breakdown Structure (WBS)
- Resource Breakdown Structure (RBS)
- Master Project Schedule
- Schedule Management Plan
- Work Management Plan
- Spending Plan
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Quality Management Plan
- Change Management Plan
- Procurement Management Plan

2. Project Charter

The Project Charter for the Florida Department of Education, Division of Technology & Innovation - Risk Assessment Mitigation Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and, it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

2.1 Overview

As required by 2016-17 General Appropriations Act (1961B), the Florida Department of Education (FDOE) contracted with an independent security and risk management firm to assess the department's Information Technology (IT) Security Program. The assessment identified information security and risk management gaps that FDOE needs to address in order to improve the maturity of the overall security program. If this legislative budget request is not funded, a wide range of sensitive data of employees, students and teachers could be targets for cyber-attacks and compromised. Thus, FDOE information security needs staff and resources in order to stay ahead of existing and developing threats.

2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A

3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification Scope
- Control

3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK[®] Guide) – Fourth Edition standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The Project had a previous WBS that was based on an internal Modernization and Application Improvement project approach that was executed to about 50% when it was realized that the existing Licensing System obsolescence prevented the completion of the original plan. After a full Project review it was decided that a full replacement of the Licensing System was required to meet Project goals. After an Analysis of Alternatives (AoA): Design and Develop a new system internally, purchase a Commercial off the Shelf (COTS) solution, or procure a Managed Service/Cloud based solution; it was decided to pursue the procurement of a COTS solution that met requirements. As the installation, deployment, acceptance testing, launch, and training will be provided by the Vendor, a new WBS is not available at this time. As soon as it is provided by the Vendor, a link to it will be provided in this document.

5. Resource Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 1

Security Analyst – 2

Developers – 1

DBA – 1 (assistance as needed)

6. Master Project Schedule

The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

6.1 Schedule Management Plan

The purpose of the Schedule Management Plan is to define the approach the project team will use in creating the project schedule. This plan also includes how the team will monitor the project schedule and manage changes after the baseline schedule has been approved. This includes identifying, analyzing, documenting, prioritizing, approving or rejecting, and publishing all schedule-related changes.

The Schedule Management Plan is organized into the following sections:

- Schedule Management Approach
- Work Breakdown Structure
- Schedule Control
- Schedule Changes
- Scope Changes

Schedule Management Approach

This section provides a general framework for the approach which will be taken to create the project schedule. This includes the scheduling tool/format, schedule milestones, and schedule development roles and responsibilities.

Schedule Tool/Format

Project schedules will be created using Microsoft Project.

Activity definition will identify the specific work packages which must be performed to complete each deliverable. Activity sequencing will be used to determine the order of work packages and assign relationships between project activities. Activity duration estimating will be used to calculate the number of work periods required to complete work packages.

Resource estimating will be used to assign resources to work packages in order to complete schedule development.

Schedule Milestones

Once a preliminary schedule has been developed, it will be reviewed by the project team and any resources tentatively assigned to project tasks. The project team and resources must agree to the proposed work package assignments, durations, and schedule. Once this is achieved the Project Sponsor will review and approve the schedule and it will then be baselined.

The following will be designated as milestones for the project schedule:

- Completion of scope statement, Work Breakdown Structure (WBS) and Resource Breakdown Structure (RBS)
- Baselined project schedule
- Approval of final project budget
- Project kick-off
- Approval of roles and responsibilities
- Requirements definition approval
- Completion of data mapping/inventory
- Project implementation
- Acceptance of final deliverables

Project Manager Roles and Responsibilities

The Project Manager will take responsibility for overall project management and will work with the Project Sponsor to coordinate activities such as:

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

- Serve as the primary point of contact for the Project Manager, confirm the project work plan and facilitate issue resolution.
- Provide kick-off meeting facility and identify and invite participants.
- Provide the team with working space facilities, including internet connectivity, access to required technology.
- Provide meeting rooms and equipment such as projectors as needed.
- Actively participate in all project working sessions and management meetings.
- Monitor and ensure resolution of all issues.
- Approve status reports and communications prior to distribution.
- Approve all deliverables.

Work Breakdown Structure

The Project Management Institute's A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition describes the Work Breakdown Structure (WBS) as "a deliverable-oriented hierarchical decomposition of the work to be executed by the team".

The WBS for the RAM Project is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

The project team is responsible for participating in weekly schedule updates/reviews; communicating any changes to actual start/finish dates to the Project Manager; and participating in schedule variance resolution activities as needed.

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

Reporting

The progress of, and changes to the project schedule, will be reported in accordance with the project's Communications Plan.

Schedule Changes

If any member of the project team determines that a change to the schedule is necessary, the Project Manager and team will meet to review and evaluate the change. The Project Manager and project team must determine which tasks will be impacted, variance as a result of the potential change, and any alternatives or variance resolution activities they may employ to see how they would affect the scope, schedule, and resources. If, after this evaluation is complete, the Project Manager determines that any change will exceed the established boundary conditions, then a schedule change request must be submitted.

Submittal of a schedule change request to the Project Sponsor for approval is required if either of the two following conditions is true:

- The proposed change is estimated to reduce the duration of an individual work package by 10% or more, or increase the duration of an individual work package by 10% or more.
- The change is estimated to reduce the duration of the overall baseline schedule by 10% or more, or increase the duration of the overall baseline schedule by 10% or more.
- Any change requests that do not meet these thresholds may be submitted to the project manager for approval.

Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The Change Management process will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.

7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

8. Spending Management Plan

This section presents the project spending plan and the high level project schedule for the Microsoft Project.

8.1 Spending Plan

The table below shows the cost of the project projected for 2019-20.

Table 1: Summary Spending Plan

| | |
|---|------------------------|
| Recurring Costs | |
| Services, subscriptions, maintenance | \$ 740,000.00 |
| Staffing (FTE's and Contractors) | <u>\$ 1,319,099.00</u> |
| Total Recurring Costs | \$ 2,059,099.00 |
| One-Time Initial Total Costs - Year One | |
| Recurring Costs | \$ 2,059,099.00 |
| Capital Expenses | \$ 780,244.00 |
| Temporary Staffing | <u>\$ 361,600.00</u> |
| Total Amount to be Requested | \$ 3,200,943.00 |

9. Communication Plan

The Communication Plan describes the planned and periodic communications between the RAM and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix

The Communication Plan is filed for reference in the Project Documentation Folder.

10. Risk Management Plan

This section presents the Risk Management Plan for the RAM Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the RAM Project.¹ The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the RAM Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the RAM Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

¹ David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

| Risk Probability | | |
|------------------|-----------|----------------------|
| Low | < 30% | unlikely to occur |
| Medium | 31% - 50% | may occur |
| High | 51% - 80% | probably will occur |
| Very High | > 80% | very likely to occur |

| Risk Impact | | | |
|-------------|----------------------|---|--------------------------|
| | <u>Cost Increase</u> | <u>Scope Change</u> | <u>Schedule Increase</u> |
| Minor | < 5% | Barely | < 5% |
| Moderate | 5% - 8% | Minor areas of deliverable(s) | 5% - 10% |
| Serious | 9% - 10% | Major areas of deliverable(s) | 11% - 15% |
| Critical | > 10% | Failure to complete deliverable or failure to achieve project objective | >15% |

| Probability x Impact Rank | | | | |
|---------------------------|--------------|-----------------|----------------|-----------------|
| | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low | Low(1) | Low(1) | Medium(2) | High(3) |
| Medium | Low(1) | Medium(2) | Medium(2) | High(3) |
| High | Low(1) | Medium(2) | High(3) | High(3) |
| Very High | Low(1) | High(3) | High(3) | Very High(4) |

Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the RAM Project Team and the Project Sponsor. Input from RAM subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date.

The initial development of the Risk Management Database will be completed by the RAM Project Team. The Risk Management Database will be updated on an ongoing basis by the RAM Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The RAM Project Team will use the Risk Management Database as the system of record and store it in the RAM SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and RAM Project Team in the weekly status meeting. The RAM Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook, and update the Project Workbook and upload it to the RAM Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

Risk Management Responsibilities

The responsibility for managing risk is shared between the RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity | Responsibility |
|---------------------------------------|---|
| Identify risks | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial identification was made by the Project Sponsor and Project Manager. |
| Assess risks | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial assessment was made by the Project Sponsor and Project Manager. |
| Plan risk responses | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial responses were planned by the Project Sponsor and Project Manager. |
| Approve risk responses | Project Sponsor |
| Develop Risk Management Database | Project Manager and RAM Project Team |
| Maintain Risk Management Database | Project Manager |
| Develop or take risk response actions | Risk Owner |
| Manage risk responses | Project Manager, RAM Project Team |
| Report risks | Project Manager, RAM Project Team |

Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

Risk Breakdown Structure (RBS)

| RBS LEVEL 1 | RBS LEVEL 2 | |
|--------------------|-------------|-------------------------------------|
| 1. Technical Risk | 1.1 | Scope Definition |
| | 1.2 | Requirements Definition |
| | 1.3 | Estimates, Assumptions, Constraints |
| | 1.4 | Technical Processes |
| | 1.5 | Technology |
| | 1.6 | Interfaces |
| | 1.7 | Design |
| | 1.8 | Performance |
| | 1.9 | Reliability & Maintainability |
| | 1.10 | ADA |
| | 1.11 | Security |
| | 1.12 | Test & Acceptance |
| 2. Management Risk | 2.1 | Project Management |
| | 2.2 | Program Management |
| | 2.3 | Operations Management |
| | 2.4 | Organization |
| | 2.5 | Resourcing |
| | 2.6 | Communication |
| | 2.7 | Information |
| | 2.8 | Health, Safety, & Environment |
| | 2.9 | Quality |
| | 2.10 | Reputation |
| 3. Business Risk | 3.1 | Contractual Terms & Conditions |
| | 3.2 | Internal Procurement |
| | 3.3 | Contractor |
| | 3.4 | Subcontracts |
| | 3.5 | Client/Customer Stability |
| | 3.6 | Stakeholders |
| 4. External Risk | 4.1 | Legislation |
| | 4.2 | Exchange Rates |
| | 4.3 | Site / Facilities |
| | 4.4 | Environment / Weather |
| | 4.5 | Competition |
| | 4.6 | Regulatory |
| | 4.7 | Political |
| | 4.8 | Country |
| | 4.9 | Social / Demographic |
| | 4.10 | Pressure Groups |
| | 4.11 | Force Majeure |

11. Issue Management Plan

This section presents the Issue Management plan for the RAM Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders
- It is highly visible or involves external stakeholders such as requests or directives from control agencies
- It has critical deadlines or timeframes that cannot be missed
- It can result in an important decision or resolution for which the rationale and activities must be captured for historical purposes it has critical deadlines that may impede project progress.
- Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance. Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an

issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the RAM Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the RAM Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the RAM Project Manager via e-mail. Prospective issues shall be entered by the RAM Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly RAM – Reengineering Project Status Meeting.

Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the RAM Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The RAM Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be discussed with Project Sponsor and RAM Project Team in the weekly status meeting.

Issue Management Responsibilities

The responsibility for managing issues is shared between the RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity | Responsibility |
|--|---|
| Identify issues | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial identification will be made by the Project Sponsor and Project Manager. |
| Validate issues | All – RAM Project Team, Project Sponsor, subject matter experts, and other stakeholders. |
| Assign issues | RAM Project Manager, Project Sponsor, and Project Manager. |
| Approve issue responses | Project Sponsor and/or |
| Develop Issue Management Database | Project Manager and RAM Project Team |
| Maintain Issue Management Database | Project Manager |
| Develop or take issue response actions | Issue Owner |
| Manage issue responses | Project Manager, RAM Project Team |
| Report issues | Project Manager, RAM Project Team |

Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the RAM Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation
3. The issue owner, as identified by the issue tracker, completes the Issue Submission Form with a brief issue write-up identifying the issue, concerns, and positions of involved parties

4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)
9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and)
10. Issue review process is repeated at the next level of management

Issue Submission Form

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

Sample Issue Submission Form

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM | | |
|-------------------------------------|--------------------|----------------|
| Issue Number: | Reported By: | Date Reported: |
| Issue Status: | Issue Assigned To: | Date Resolved: |
| Description of Issue: | | |
| Project Impact: | | |
| Alternatives and Recommendation(s): | | |
| Final Resolution: | | |

12. Quality Management Plan

Introduction

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the RAM Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

Approach

This section describes the approach the RAM Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the RAM Project beginning in the first phase of the project in order to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

Quality Management Approach Overview



Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
- Ensure the quality of the system development process, project artifacts, and project products to RAM and its stakeholder meet their requirements

Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

13. Change Management Plan

The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage | Step | Description |
|-------------------|---------------|---|
| Initiation | Generate CR | A submitter completes a CR Form and sends the completed form to the Project Manager |
| Initiation | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed. |
| Impact Estimation | Evaluate CR | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change |
| Approval | Authorize | Approval to move forward with incorporating the suggested change into the project/product |
| Approval | Implement | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in Appendix A – RAM Change Request Form.

A sample copy of the RAM Change Request Form is provided in the table below:

Table 3. RAM Change Request Form:

| Change Request | | |
|---|--|--|
| Project: | | Date: |
| Change Requestor: | | Change No: |
| Change Category (Check all that apply): | | |
| <input type="checkbox"/> Schedule | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | Testing/QualityResources |
| Does this Change Affect (Check all that apply): | | |
| <input type="checkbox"/> Corrective Action | <input type="checkbox"/> Preventative Action | <input type="checkbox"/> Defect Repair |
| <input type="checkbox"/> Other | | <input type="checkbox"/> Updates |
| Describe the Change Being Requested: | | |
| Describe the Reason for the Change: | | |
| Describe all Alternatives Considered: | | |
| Describe any Technical Changes Required to Implement this Change: | | |
| Describe Risks to be Considered for this Change: | | |
| Estimate Resources and Costs Needed to Implement this Change: | | |
| Describe the Implications to Quality: | | |
| Disposition: | | |
| <input type="checkbox"/> Approve | <input type="checkbox"/> Reject | <input type="checkbox"/> Defer |
| Justification of Approval, Rejection, or Deferral: | | |
| Change Board Approval: | | |
| Name | Signature | Date |
| | | |
| | | |

Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the RAM Change Request Form included in Appendix A – RAM Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

- a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.
- b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

Team Member Roles and Responsibilities

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

Table 4. RASCI Matrix

| | | | | | | | | | | | |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|
| ROLE Definitions | | | | | | | | | | | |
| R Responsible The person who will perform the task. | | | | | | | | | | | |
| A Accountable The person who is ultimately accountable. | | | | | | | | | | | |
| S Support The person(s) who will assist the Responsible in completing the task. | | | | | | | | | | | |
| C Consulted The person(s) whose opinions are sought for the task. | | | | | | | | | | | |
| I Informed The person(s) who are kept up-to-date on task status. | | | | | | | | | | | |
| TASKS/ACTIVITIES | Project Manager | | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |

| Initiation Tasks | | | | | | | | | | | |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request. | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I | I | I | I | I | I | I | I | I | I |

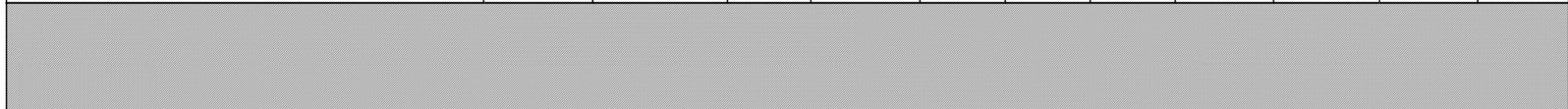


Table 2. RASCI Matrix

| ROLE Definitions | Project Manager | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| R Responsible The person who will perform the task. | | | | | | | | | | |
| A Accountable The person who is ultimately accountable. | | | | | | | | | | |
| S Support The person(s) who will assist the Responsible in completing the task. | | | | | | | | | | |
| C Consulted The person(s) whose opinions are sought for the task. | | | | | | | | | | |
| I Informed The person(s) who are kept up-to- | | | | | | | | | | |

| | | | | | | | | | | | | |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status. | | | | | | | | | | | | |
| TASKS/ACTIVITIES | | | | | | | | | | | | |
| Impact Estimate Tasks | | | | | | | | | | | | |
| 5. Evaluate Change Request. | C | C,R,A | I | I | C | C | C | C | C | C | C | C |
| Approval Tasks | | | | | | | | | | | | |
| 6. Authorize Change Request. | I | I | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C | I | I | I | I | I | I | I | I | I | I |
| | | | | | | | | | | | | |

14. Procurement Management Plan

The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management

Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a Guidebook to Public Procurement to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' Guidebook to Public Procurement is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the RAM Operations Supervisor who will check to see if the item is already available within the Department. If not, then the specifications for the requirements should be provided to the RAM Bureau Chief Staff Assistant so that it can be entered into the MyFloridaMarketPlace eQuote system for purposes of requesting quotes.

Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project

procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.

Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
 - a. Contract Manager verifies with the Technical Contact any missing information
 - b. Contract Manager creates the Requisition in MyFloridaMarketPlace (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
 - a. Contract cover sheet
 - b. Purchase Order
 - c. Contract management check list
 - d. RFQ or SOW
 - e. Resume
 - f. Disclosure statement
 - g. Drug-free work place form
 - h. References
 - i. Skills matrix
 - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

SCHEDULE IV-B FOR EDUCATIONAL FACILITIES INFORMATION SYSTEM (EFIS) – REENGINEERING PROJECT

For Fiscal Year 2019-20




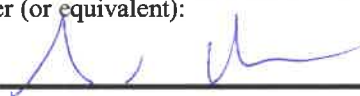

OCTOBER 18, 2018

FLORIDA DEPARTMENT OF EDUCATION

Contents

- I. Schedule IV-B Cover Sheet 2
 - General Guidelines..... 3
 - Documentation Requirements..... 3
- II. Schedule IV-B Business Case – Strategic Needs Assessment..... 4
 - A. Background and Strategic Needs Assessment 4
 - 1. Business Need 4
 - 2. Business Objectives..... 4
 - B. Baseline Analysis 5
 - 1. Current Business Process(es) 5
 - 2. Assumptions and Constraints 6
 - C. Proposed Business Process Requirements 7
 - 1. Proposed Business Process Requirements..... 7
 - 2. Business Solution Alternatives..... 8
 - 3. Rationale for Selection 8
 - 4. Recommended Business Solution 9
 - D. Functional and Technical Requirements 9
- III. Success Criteria 10
- IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis..... 11
 - A. Benefits Realization Table..... 11
 - B. Cost Benefit Analysis (CBA)..... 12
- V. Schedule IV-B Major Project Risk Assessment..... 13
- VI. Schedule IV-B Technology Planning 13
 - A. Current Information Technology Environment 13
 - 1. Current System 13
 - 2. Information Technology Standards 16
 - B. Current Hardware and/or Software Inventory..... 16
 - C. Proposed Technical Solution 16
 - D. Proposed Solution Description 17
 - 1. Summary Description of Proposed System 17
 - 2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)..... 17
 - E. Capacity Planning, *(historical and current trends versus projected requirements)*..... 17
- VII. Schedule IV-B Project Management Planning 17
- VIII. Appendices 17

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|---|
| Agency: Department of Education | Schedule IV-B Submission Date: 10/18/2018 |
| Project Name: Educational Facilities Information System (EFIS) – Reengineering Project | Is this project included in the Agency’s LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| FY 2019-20 LBR Issue Code: | FY 2019-20 LBR Issue Title: Education Facilities Information System |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andre K. Smith, 850-245-0428, Andre.Smith@fldoe.org | |
| AGENCY APPROVAL SIGNATURES | |
| I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B. | |
| Agency Head: Printed Name: Pamela Stewart |  Date: 10/19/18 |
| Agency Chief Information Officer (or equivalent): Printed Name: Andre K. Smith |  Date: 10/18/18 |
| Budget Officer: Printed Name: Linda Champion |  Date: 10/18/18 |
| Planning Officer: Printed Name: Mark Weigly | Date: |
| Project Sponsor: Printed Name: Mari Presley | Date: |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: | Mark Weigly, Mark.Weigly@fldoe.org , 850-245-9239 |
| Cost Benefit Analysis: | Dawn Creamer, Dawn.Creamer@fldoe.org , 850-245-9538 |
| Risk Analysis: | Gar Schafer, Gar.Schafer@fldoe.org , 850-245-9073 |
| Technology Planning: | Cole Sousa, Cole.Sousa@fldoe.org , 850-245-0078 |
| Project Planning: | Gar Schafer, Gar.Schafer@fldoe.org , 850-245-9073 |

General Guidelines

The Schedule IV-B contains more detailed information on Information Technology (IT) projects than is included in the D-3A issue narrative submitted with an agency’s Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is \$1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units (“refresh”) with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Technical Solution
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4)(a)10, Florida Statute (F.S.), is also required if the total cost for all years of the project is \$10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

Submit all component files of the agency’s Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@laspbs.state.fl.us. Reference the D-3A issue code and title in the subject line.

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

A. Background and Strategic Needs Assessment

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

1. Business Need

The Educational Facilities Information System (EFIS) is the main software application that supports the collection, monitoring and reporting of all educational facility information for 3,588 K-12 Facilities in 67 counties and 180 college campuses associated with 28 colleges, the Florida School for the Deaf and the Blind, and the University Lab Schools throughout the state, as authorized under, s. 1013, F.S..

EFIS is made up of Florida Inventory of School Houses (FISH), Five-Year Educational Plant Survey, and the Five-Year Work Plan, which together are responsible for approximately \$5 billion in state and local fixed capital outlay funding annually. The EFIS system also assists school districts, Florida School for the Deaf and the Blind (FSDB), university research schools and Florida College System institutions in the development of their educational facilities planning and capital budgets. The Office of Educational Facilities uses EFIS for reporting data to the legislature and to determine facility needs as related to new construction, remodeling and renovation.

Currently, EFIS is operating under a vendor unsupported Microsoft .NET 4.0 Framework, using Microsoft's Model View Presenter (MVP) as the code structure. Support for that product ended on January 1, 2016. Additionally, the security model for the current framework is over 10 years old which could result in potential higher security risk. As for the databases, EFIS is operating under Microsoft SQL Server 2012.

Due to obsolete system architecture, the EFIS application must be maintained and supported by the Division of Technology and Innovation (DTI) technical staff. Due to the age and uniqueness of the current framework, the application is difficult to support without IT professionals familiar with the MVP model. The program is difficult to update in order to reflect current statutory requirements and existing data needs without IT professionals. The underlying business rules should be updated in a timely and efficient manner on an administrative user level. While once state-of-the-art, the product is now obsolete and does not meet current expectations for user experience. For example, drop-down boxes, on-demand/ad hoc reports, pre-populated fields, reuse of data entered only once throughout the application, importing data from Excel, multi-platform versions, etc. Therefore, the aforementioned issues need to be addressed as soon as possible.

2. Business Objectives

The mission of the Office of Educational Facilities is to provide technical support and information for all issues related to educational facilities planning, funding, construction, and operations throughout Florida's K-20 Education System. Based on the Governor's priority for Public Safety, the Department has aligned objectives and activities to ensure school safety and educational facilities for students. Furthermore, based on the Florida Statutes, s. 1013.35(2)(a), F.S. states in part "Annually, prior to the adoption of the district school budget, each district school board shall prepare a tentative district educational facilities plan that includes long-range planning for facilities needs over 5-year, 10-year, and 20-year periods." To insure that state and local policy makers are fully informed and that decisions on long-term investments, such as school buildings, are made based on accurate data and deliberate, transparent processes. Section 1013.61 F.S., requires that a district's capital outlay budget must be "...based upon and in harmony with the board's capital outlay plan," and prohibits a board from expending funds on any project not included in the budget. EFIS is the data system that supports this planning and budgeting process. Additionally, and in the 2016 LBR submission, one of the four (4) overall funding priorities included "Providing funds for the repair and maintenance of educational facilities."

NOTE: For IT projects with total cost in excess of \$10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy

| PROBLEM STATEMENT | OBJECTIVE | SUCCESS |
|---|---|---|
| The current EFIS application is operating under an outdated version of .NET. | All department applications should operate within current or near-current operating systems. | This application is highly sustainable and can be easily modernized every 3-5 years. |
| EFIS is operating with an outdated security model. | All department applications should operate with the current security standards. | This application is highly sustainable and can be easily modernized every 3-5 years. |
| The EFIS user interface is outdated. | The EFIS application should provide an intuitive user interface, including: <ul style="list-style-type: none"> • Eliminating re-entry of data through pre-populated fields; • Drop down menus • On demand and ad hoc reports; • Upload of data from Excel | This application is a planning and reporting application that is highly desirable tool for users at the state and local levels. |
| The data stored in and standard reports generated by the EFIS application are not granulated. | The EFIS application should support the analysis needed for decision making at the state and local levels. | This application supports highly-effective decision making by supporting data mining and analysis. |
| Imbedded business rules are outdated and difficult to change. | The EFIS application should be easily configurable to revise assumptions and add formulas, data elements and fields, reports, and forms. | The application is highly-sustainable and can be updated regularly. |

Required in s. 216.023(4)(a)10, F.S.

B. Baseline Analysis

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

1. Current Business Process(es)

The Office of Educational Facilities manages various business processes which the current EFIS application supports: Florida Inventory of School Houses (FISH), Public Schools 5-Year Educational Plant Survey, 5-Year Work Plan, Florida Colleges’ 5-Year Educational Plant Survey and Project Tracking. School districts and Florida College System institutions use EFIS for educational facilities planning and capital budgeting purposes. The department uses EFIS for reporting data to the legislature, Governor’s Office, and Commissioner of Education, and to evaluate the need for new construction, remodeling and renovation projects.

FLORIDA INVENTORY OF SCHOOL HOUSES (FISH)

From a facilities inventory perspective, the current EFIS application allows the user to create and modify inventory data for the school houses and facilities throughout Florida and provides interfaces for entering information about facilities, including parcels, buildings, rooms, net square footage of spaces, design codes, dates of construction, remodeling and renovation projects and acreage. Additionally, the system provides both pre-defined and ad-hoc reports depicting the facility inventory in its database. In its current design, the application provides improved navigability and a clear separation of data-entry tasks.

FIVE-YEAR SURVEY PROCESS

From a survey perspective, EFIS plays a significant role in this process. The purpose of an educational plant survey is to aid in formulating plans for housing the educational activities of students and staff of the school district and colleges for the next several years and the survey must consider the local comprehensive plan in its forecast strategies. The development of this plan must be based on a careful study of all available data regarding the current status of educational and ancillary facilities in relation to capital outlay full-time equivalency (COFTE) student membership and the projected changes in COFTE student membership.

A formal and complete educational plant survey for all facilities within a District is required to be conducted every five (5) years (s. 1013.31(1), F.S.), but may be performed as often as is necessary. Interim or Supplemental surveys are used to accomplish unforeseen changes to the survey during this 5-year period. EFIS is the current application that collects, processes and reports on this survey data.

FIVE-YEAR WORK PLAN

Annually, prior to the adoption of the district school budget, each school board must prepare a tentative district educational facilities work program (s. 1013.35(2)(a), F.S.) that includes long-range planning for facilities needs over 5-year, 10-year, and 20-year periods. The 5-year plan is intended to be a useful and meaningful document for planning preparing, and prioritizing the current 5-year capital outlay needs of the district. The first year of the work plan comprises a school board's annual capital outlay budget.

PROJECT TRACKING

School districts and colleges must report information about their proposed educational facilities projects, including new construction, renovation and remodeling in EFIS. The project tracking application permits users to record information about the project, including the professional design and construction team, the facility type, life cycle cost analysis, funding sources, facility spaces and square footage, status of permitting and other approvals by authorities having jurisdiction.

In addition, the department is available to provide school districts and colleges with plan review services to document the compliance of construction documents with building and life safety codes. In these cases, the EFIS application provides for the tracking of the documents submitted as they progress through the review process to help ensure timely review and to permit the facilities planners to track the status of the department's review.

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

2. Assumptions and Constraints

- All user and DTI requirements, buy vs. build, procurement and planning activities will be finalized to ensure that this application is developed during Fiscal Year 2018-19.
- Ensure interoperability with required internal agency or interagency source systems (e.g. Staff Information System, Scholarship Programs Systems, etc.).
- Project Management Team will be used by the department to manage project plan, staff, resources, and risks/issues log.
- An additional year of parallel testing may be required after Fiscal Year 2018-19.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

The Office of Educational Facilities EFIS application is a large, complex custom application that requires updated and new processes that will better enable District Users and Office of Education Facilities (OEF) personnel to better manage 67 districts school facility information.

Functionality that has been identified to be enhanced or added includes:

- Applications full screen render is not required for every data entry update to the database.
- More Intuitive user Interface:
 - Develop a dashboard to reflect the status of each application, upcoming annual processes, system health.
 - Communicate what the application is doing so the user is not switching screens while the application is saving.
 - OEF control over data updates to EFIS such as K-12 COFTE, College COFTE, College Inventory, drop down menus, upload of data from Excel, pre-populated fields, etc.
- OEF control over business rules applied as needs and rules change.
- Florida Inventory of School Houses (FISH):
 - Allow multiple related room changes per screen to speed data entry.
 - Incorporate tablet/IPADS for Validation work eliminating double entry of validation changes.
 - Users should be able to create their own Ad-hoc reports.
 - Validate MSID's against the Public School ID Data Base keeping the system accurate.
 - Updating business rules for vacating school parcels.
 - On-Line submittal of Annual Certification of Inventory via Electronic Signature
- Survey:
 - Allow Super-users to add facilities to pending spot surveys eliminating the need to delete a survey and start again where another facility is needed to complete the spot survey.
 - Minimize Facility List options for Elementary, Middle, High, Adult, etc.
 - Spot Surveys should be for grade level changes requiring all facilities for the grade level to be on the Spot Survey.
- Allow OEF personnel to un-submit a survey to avoid sending out a rejection e-mail when the survey had been submitted in error.
- Five-Year Work Plan:
 - Require Maintenance Sections to identify those schools that need specific upgrades. Remove generalizing that all facilities need roof repair, etc.
 - Incorporate reports found on an external report generator into the EFIS system.
 - Incorporate the Work plan processing (raw processing, Superintendent letters, Work Plan Summaries) into the application. It is now a separate process requiring technical user processing.
 - Long-term, 10- and 20-year data should populate from the previous year work plan.
- Project Tracking:
 - Incorporate electronic upload of architectural blueprints to a secure database.
 - Scan existing blueprints into a secure database.
 - Electronic Signature functionality is required.
 - Provide print functionality of all forms.
 - Track projects using a dashboard system.
 - Provide transfer of new facility data to FISH eliminating double entry.

SCHEDULE IV-B FOR EDUCATIONAL FACILITIES INFORMATION SYSTEM (EFIS) – REENGINEERING PROJECT

- Provide automatic tracking of project status with the district to maintain project integrity.
- Allow OEF engineers to have more than one profile to accommodate engineers with more than one discipline.
- Develop a user friendly way to create project tracking associates, such as, Architects, Electrical Engineers, etc.
- Project Tracking associates management screen must allow these associates to have multiple disciplines.

The Project Tracking forms must save associates information within the form and not link to a current associate record. Errors occur on the forms when the associates’ record is changed or removed

2. Business Solution Alternatives

a. Redesign and rewrite EFIS

This option involves redesigning and rewriting the current EFIS application and including most if not all of the business requirements identified above in Section II, C.1.. This will enable the application to operate within a current version of .NET and significantly improve security. Additionally, it will reduce the amount of fragmentation that exists within the current application. This effort would be accomplished with DOE Employees for the business, functional requirements, and testing and Contract Employees for the development and project management. This option would be the least cost of the three options. Additionally, it would result with an application that is highly sustainable.

b. Commercial off-the-shelf (COTS) product

An alternative COTS approach was explored that is currently deployed at Department of Management Services (DMS) that is supporting a facilities management system.

3. Rationale for Selection

| DEPARTMENT OF EDUCATION, DIVISION OF TECHNOLOGY AND INNOVATION | | | |
|---|----------------|------------------------|---------------------|
| 2018-19 LEGISLATIVE BUDGET REQUEST - SCHEDULE IV-B | | | |
| EFIS REENGINEERING PROJECT | | | |
| | | A | B |
| RATIONALE FOR SELECTION | IMPACTS | REDESIGNED EFIS | COTS PRODUCT |
| Meet the current business requirements | FEATURES | 5 | 3 |
| Exceed business requirements | FEATURES | 2 | 1 |
| Less Development time | TIME | 5 | 1 |
| Development in Cloud Services (MS Azure) | COST/TIME | 5 | 1 |
| Provide hosting in cloud services | COST/TIME | 5 | 1 |
| TOTAL POINTS | | 22 | 7 |
| Projected Costs - One Time - Labor | | \$ 2,011,773 | \$ 600,000 |
| Project Costs - One Time - License | | N/A | \$ 4,000,000 |
| Project Costs - One Time - Data Center | | N/A | \$ 400,000 |
| TOTAL ONE TIME COSTS | | \$ 2,011,773 | \$ 5,000,000 |
| Projected Costs - Annual - Labor | | \$ 90,000 | \$ 400,000 |
| Projected Costs- Annual - License | | | \$ 200,000 |
| Projected Costs- Annual - Data Center | | | \$ 200,000 |
| TOTAL ANNUAL RECURRING COSTS | | \$ 90,000 | \$ 800,000 |
| NOTES: | | | |
| <i>License costs based on DMS procurement. It is expected that this would be the least costs for a DOE procurement</i> | | | |
| <i>5 - Most Likely, 4 - More Likely, 3 - Likely, 2 - Less Likely, 1 - Unknown</i> | | | |
| <i>Though the amount for OPTION A is \$2.011 million, the cost could be \$2.25 million depending on the finalization of detailed business requirements.</i> | | | |

4. Recommended Business Solution

The recommendation is to move forward with OPTION A and redesign the current application including most if not all of the business requirements.

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

D. Functional and Technical Requirements

See Appendices D - I

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

Include through file insertion or attachment the functional and technical requirements analyses documentation developed and completed by the agency.

III. Success Criteria

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

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|---|---|--------------------------|
| # | Description of Criteria | How Will the Criteria be Measured/Assessed? | Who Benefits? | Realization Date (MM/YY) |
| 1 | The application is highly sustainable and can be easily modernized every 3-5 years. | The application is within 2 versions of the .NET application and requires limited changes to the Security Model and increases the level of security with the EFIS application. Additionally, the new application will be implemented into the Single Sign On (SSO) infrastructure which is the Department’s standard. | The Office of Educational Facilities, the School Districts, the Colleges, and the Division of Technology and Innovation will benefit. | 12/2019 |
| 2 | This application is a planning and reporting application that is highly desirable tool for users at the state and local levels. | The application uses current standards for user interface and enhances productivity at the state and local levels. Data entry is streamlined and data is carried forward to other modules; data import (including scanned documents) and export functions are available; reports can be created on an ad hoc basis; forms can be created as needed and inventory data can be uploaded during site visits. | The Office of Educational Facilities, the School Districts, the Colleges, and the Division of Technology and Innovation will benefit. | 12/2019 |
| 3 | This application supports highly effective decision making by supporting data mining and analysis. | The application captures data at a highly-granular level (e.g. construction cost data), readily supports the addition of new data elements and the creation of new business rules to reflect statutory changes. | The Office of Educational Facilities, the School Districts, the Colleges, and the Division of Technology and Innovation will benefit. | 12/2019 |
| 4 | Imbedded business rules are up to date and easily configurable. | Application reflects current business rules by June 30, 2019, and can be updated within 48 hours of request. | The Office of Educational Facilities, the School Districts, the Colleges, and the Division of Technology and Innovation will benefit. | 12/2019 |

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

A. Benefits Realization Table

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

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

| 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 | Updated system design incorporating current methods for flexibility and sustainability. | Office of Educational Facilities, Districts, Florida School for the Deaf and the Blind, Legislature. | System will be highly sustainable in the long term. | Easily updated by OEF personnel to reflect changes in requirements and legislative focus. | 12/2019 |
| 2 | Granular reporting with Cost of Construction | Office of Educational Facilities, Districts, Florida School for the Deaf and Blind | On-line reporting by Districts for the Cost of Construction | Estimated construction costs in a District Survey reflect district costs. | 12/2019 |
| 3 | One-Step Validation | Office of Educational Facilities, Districts, Florida School for the Deaf and Blind | On-site update of facility data during validation. | Eliminating double entry of facility changes saving time and effort. | 12/2019 |
| 4 | Electronic capture and Management of Facility construction plans | Office of Educational Facilities, Districts, Florida School for the Deaf and Blind | Secure, on-line portal for transfer of architectural plans related to facility modifications and new construction. | Reduced processing time of Facility Project Reviews; more accurate analysis with blueprints thereby saving time and shipping costs. | 12/2019 |
| 5 | Enhanced database structure capturing more granular data for data mining. | Office of Educational Facilities, Districts, Florida School for the Deaf and the Blind, Legislature. | More efficient design layout for capturing facility changes. | Faster and more accurate data reporting enabling better planning and responsiveness to legislative requests, district needs and DOE requirements. | 12/2019 |

B. Cost Benefit Analysis (CBA)

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

The chart below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

| Cost Benefit Analysis | |
|---|--|
| Form | Description of Data Captured |
| CBA Form 1 - Net Tangible Benefits | <p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p> |
| CBA Form 2 - Project Cost Analysis | <p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p> |
| CBA Form 3 - Project Investment Summary | <p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return |

V. Schedule IV-B Major Project Risk Assessment

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

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency’s Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

a. Description of Current System

- The EFIS application is a web-based application built using ASP.NET and C# 2.0.
- The application is built using *Visual Studio.NET 2005* with Team Foundation Server.
- The data collected by the EFIS application resides in SQL SERVER 2012
- The EFIS application is designed using a layered approach that helps organize the code in a commonly understood manner.
- EFIS requires security in many different areas. Examples are in the login process, the screens to which a user or role has access, and the data elements on a screen or listing to which a user or role has access. Security role membership also determines which EFIS sub systems a user has access to. Since the needed security roles were the same or very similar across the different EFIS sub systems, role name prefixes were created to help distinguish between them:

| <u>Role Prefix</u> | <u>Description</u> |
|--------------------|--|
| FIS_ | A role for the FISH (Inventory of Schools) subsystem (i.e. FIS_Updates). |
| SCOA_ | A role for the SCOA (Capital Outlay) subsystem (i.e. SCOA_ReadOnly). |
| FYP_ | A role for the Five-Year Work Plan subsystem (i.e. FYP_SuperUser). |
| FYS_ | A role for the Five-Year Survey subsystem (i.e. FYS_Updates). |

Within each of the sub systems, a standard set of three roles can be present:

| <u>Role Name</u> | <u>Description</u> |
|------------------|---|
| SuperUser | These users have full administrative access to a subsystem. |
| Updates | These users have the capability to update data within a subsystem. |
| ReadOnly | These users can view data within a subsystem, but cannot modify anything. |

SCHEDULE IV-B FOR EDUCATIONAL FACILITIES INFORMATION SYSTEM (EFIS) – REENGINEERING PROJECT

The EFIS application will consist of multiple solutions. Currently, the system is divided into several solutions with each solution representing a collection of similar components and functionality.

Generally speaking, all of the EFIS solutions fall into one of two categories:

1 – Shared Components – There is single “shared” solution that contains any components that may be used across several different pieces of the application include data access, business logic, etc.

2 – Application Components – Several solutions exist for supporting the “front end” of the EFIS system including the web site, Windows services, console applications, and reports. The functionality encapsulated in these solutions all make use of the same shared components from the shared solution.

| Project Name | Description |
|------------------------------|---|
| EFISDB | This project contains the stored procedures and other SQL scripts for creating and maintaining the EFIS database. |
| DOE.EFIS.Persistence | Contains the data access objects and templates needed to interact with the database. |
| DOE.EFIS.Common | Contains commonly used functionality needed throughout all layers of the EFIS system including security components. |
| DOE.EFIS.BusinessServices | Contains all business logic, business rules, and code for orchestrating business processes that are supported by the application. |
| DOE.EFIS.DataTransferObjects | Contains the data transfer objects needed to move data between the various layers of the application. |

EFISWebSolution Projects

| Project Name | Description |
|-------------------------|---|
| DOE.EFIS.Website | This project contains the ASP.NET web forms and related web files. |
| DOE.EFIS.Website.Shared | Contains common components needed by the UI (website) layer including custom controls, custom base classes for content and master pages, and instances of abstracted controls needed to provide the presentation layer with access to the UI. |
| DOE.EFIS.Presentation | Contains view interfaces, presenters, and other components needed to abstract the details of the business services and data access layers from the front end of the application. |

EFISReportSolution Projects

| Project Name | Description |
|----------------------|---|
| EFISPrintPreview | Contains data sources and report definitions used primarily for providing a quick printer-friendly view of a single record. |
| FISH Reports | Contains data sources and report definitions used by the FISH subsystem. |
| SCOA Reports | Contains data sources and report definitions used by the SCOA subsystem. |
| SCOA Voucher Reports | Contains data sources and report definitions used by the SCOA subsystem. |
| Verification Reports | Contains data sources and report definitions used to verify imported SCOA data. |
| Work Plan Reports | Contains data sources and report definitions used by the Five-Year Work Plan subsystem. |

EFIS Services Solution Projects

| Project Name | Description |
|---|--|
| DOE.EFIS.Reevaluation | Contains the Windows service that is used to perform the automated reevaluation of FISH data as a constant background task. |
| DOE.EFIS.Reevaluation.ServiceController | Contains the code that actually launches the reevaluation process. This is used by the Windows service itself to the work done that it needs to perform. |
| DOE.EFIS.Reevaluation.TestHarness | Contains a simple console application that can be used to debug the reevaluation service process without having to run it as a Windows service. |

FISH Deployment Solution Projects

| Project Name | Description |
|------------------------------------|--|
| DOE.EFIS.AccountSetup | Contains a simple console application that was used to create the initial user accounts needed by the FISH system when it was originally deployed. |
| DOE.EFIS.Deployment.DataConversion | Contains a simple console application that was used to perform some needed operations on data that was imported from the legacy FISH system when it was originally deployed. |

FISH Export Solution Projects

| Project Name | Description |
|-----------------------|--|
| FishExportApplication | Contains a simple console application that is used to build a flat file from data in the EFIS database and then upload it to the Northwest Regional Data Center where it is used by a mainframe application to perform validation of data that district users provide. |

FISH Reevaluation Solution Projects

| Project Name | Description |
|--------------------------|---|
| DOE.EFIS.Reevaluation.UI | Contains a simple Windows Forms application that will perform a “full” reevaluation (the standard reevaluation plus a recalculation of all student stations) on the entire EFIS database. This was built in the event that some key business rules regarding the reevaluation process change and everything needs to be recalculated. |

FISH Snapshot Upload Solution Projects

| Project Name | Description |
|-----------------------------|--|
| DOE.EFIS.FISHSnapshotUpload | Contains a simple console application that automatically uploads flat files generated by scheduled tasks in Reporting Services to certain districts. |

Work Plan FISH Snapshot Solution Projects

| Project Name | Description |
|--------------------------------------|--|
| DOE.EFIS.WorkPlanFISHSnapshotHarness | Contains a simple console application that gathers data from the FISH system and creates snapshot records that are used by the Five-Year Work Plan system. |

b. Current System Resource Requirements

See Section B below.

c. Current System Performance # of users, # of districts, # of reports requested and processed, # of transactions/files processed, # of hits on the website, -

Since this will involve working with the NWRDC, this information will be provided upon request.

2. Information Technology Standards

The enhanced EFIS solution will be architected with industry standard best practices utilizing the Microsoft SQL/.NET solution set hosted by NWRDC as the managed services provider. Though this project is not planned to address any known performance issues, there is an expectation that performance will improve with the modernization of the user interface and other new features being developed into the application. Service Levels are currently in place with the NWRDC and any improved performance levels will be planned into the new application.

B. Current Hardware and/or Software Inventory

NOTE: Current customers would obtain this information from the data center.

| PRODUCTION | TEST | DEVELOPMENT |
|------------------------------------|------------------------------------|------------------------------------|
| Windows 2012 Web Server | Windows 2012 Web Server | Windows 2012 Web Server |
| (ecs-pddrweb01.ecs.dmz) | (ecs-dddrweb01.ecs.dmz) | (ecs-dddrweb01.ecs.dmz) |
| Memory: 8 GB | Memory: 4 GB | Memory: 4 GB |
| CPUs: 2 | CPUs: 2 | CPUs: 2 |
| SQL 2012 Database Server | SQL 2012 Database Server | SQL 2012 Database Server |
| (ecs-pddrsql01.fldoe.int) | (ecs-tddrsql01.fldoe.int) | (ecs-dddrsql01.fldoe.int) |
| Memory: 8 GB | Memory: 4 GB | Memory: 4 GB |
| CPUs: 2 | CPUs: 2 | CPUs: 2 |
| Databases: EFIS – 200 GB | Databases: EFIS – 17 GB | Databases: EFIS – 17 GB |
| SQL SSRS 2012 Report Server | SQL SSRS 2012 Report Server | SQL SSRS 2012 Report Server |
| (ecs-psql2k1201.fldoe.int) | (ecs-tddrsql01.fldoe.int) | (ecs-dtsql2k1201.fldoe.int) |
| Memory: 192 GB | Memory: 192 GB | Memory: 192 GB |
| CPUs: 12 | CPUs: 12 | CPUs: 12 |
| Reports: 150+ | Reports: 150+ | Reports: 150+ |
| SQL SSIS 2012 | SQL SSIS 2012 | SQL SSIS 2012 |
| (ecs-pddrfs01.fldoe.int) | (ecs-tddrfs01.fldoe.int) | (ecs-dtsql2k1201.fldoe.int) |
| Memory: 8 GB | Memory: 4 GB | Memory: 4 GB |
| CPUs: 2 | CPUs: 2 | CPUs: 2 |

C. Proposed Technical Solution

1. Technical Solution Alternatives

Building within the current shared resources at NWRDC or building a separate cloud solution are the two technical solution alternatives for this initiative.

2. Rationale for Selection

The technical solution recommendation will be based on the costs associated with hosting the solution at NWRDC or utilizing a separate cloud solution.

3. Recommended Technical Solution

Building within the current shared resources at NWRDC is recommended technical solution given the fact that facility plans/surveys upload functionality would be cost prohibitive in a cloud solution.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed system will be a redesigned version of the current system including new enhancements for user access, workflow management, data mining capabilities, and digital media processing for blueprints. Additionally, the operating system and security would be significantly upgraded to current industry standards.

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

The project will include 1 Project Manager, 1 Business Analyst, and 3 Developers. The overall project cost is planned to be approximately \$2.3 million.

E. Capacity Planning, *(historical and current trends versus projected requirements)*

The EFIS system supports 1,500 users from 67 counties, 180 college campuses and 28 colleges.

VII. Schedule IV-B Project Management Planning

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

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

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

VIII. Appendices

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

A: Risk Assessment_EFIS_20170829

B: Cost Benefit Analysis_EFIS_20170828

C: Project Management Plan_EFIS_20170901

D: EFIS System Requirements Specification

E: Five Year Survey – Functional Design Specification

F: Project Tracking – Functional Design Specification

G: Five Year Work Plan – Functional Design Specification

H: Colleges – Functional Design Specification

I: FISH – Functional Design Specification

| | | | | | | | | | |
|----|--|------------------------------|--|------------------------------------|---|------------------|----------------------|---------------------|--|
| | B | C | D | E | F | G | H | | |
| 3 | Project | | <i>EFIS Reengineering Project</i> | | | | | | |
| 4 | | | | | | | | | |
| 5 | Agency | | <i>Florida Department of Education</i> | | | | | | |
| 6 | FY 2019-20 LBR Issue Code: | | | FY 2019-20 LBR Issue Title: | | | | | |
| 7 | <i>Issue Code</i> | | | <i>Issue Title</i> | | | | | |
| 8 | Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | | | | | | | |
| 9 | <i>Gar Schafer, 850-245-9073,gar.schafer@fldoe.org</i> | | | | | | | | |
| 10 | Executive Sponsor | | <i>Mari Presely</i> | | | | | | |
| 11 | Project Manager | | <i>Gar Schafer</i> | | | | | | |
| 12 | Prepared By | | <i>Gar Schafer</i> | | | <i>8/29/2017</i> | | | |
| 14 | Risk Assessment Summary | | | | | | | | |
| 15 | | | | | | | | | |
| 16 | Business Strategy | Level of Project Risk | | | | | | | |
| 17 | | | | | | | | Most Aligned | |
| 18 | | | | | | | | | |
| 19 | | | | | | | | | |
| 20 | | | | | | | | | |
| 21 | | | | | | | | | |
| 22 | | | | | | | | | |
| 23 | | | | | | | | | |
| 24 | | | | | | | | | |
| 25 | | | | | | | | | |
| 26 | | | | | | | | | |
| 27 | | | | | | | | | |
| 28 | Least Aligned | | | | | | | | |
| 29 | | | | | | | | | |
| 30 | Least Risk | | Most Risk | | | | | | |
| 31 | | | | | | | | | |
| 32 | | | | | | | | | |
| 34 | Project Risk Area Breakdown | | | | | | | | |
| 35 | Risk Assessment Areas | | | | | | Risk Exposure | | |
| 36 | Strategic Assessment | | | | | | MEDIUM | | |
| 37 | | | | | | | | | |
| 38 | Technology Exposure Assessment | | | | | | MEDIUM | | |
| 39 | | | | | | | | | |
| 40 | Organizational Change Management Assessment | | | | | | LOW | | |
| 41 | | | | | | | | | |
| 42 | Communication Assessment | | | | | | HIGH | | |
| 43 | | | | | | | | | |
| 44 | Fiscal Assessment | | | | | | MEDIUM | | |
| 45 | | | | | | | | | |
| 46 | Project Organization Assessment | | | | | | MEDIUM | | |
| 47 | | | | | | | | | |
| 48 | Project Management Assessment | | | | | | MEDIUM | | |
| 49 | | | | | | | | | |
| 50 | Project Complexity Assessment | | | | | | MEDIUM | | |
| 51 | | | | | | | | | |
| 52 | | | | | | | | | |
| 53 | Overall Project Risk | | | | | | MEDIUM | | |

| | B | C | D | E |
|----|---|---|--|---|
| 1 | Agency: Florida Department of Education | | Project: EFIS Reengineering Project | |
| 3 | Section 1 -- Strategic Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 1.01 | Are project objectives clearly aligned with the agency's legal mission? | 0% to 40% -- Few or no objectives aligned | 81% to 100% -- All or nearly all objectives aligned |
| 6 | | | 41% to 80% -- Some objectives aligned | |
| 7 | | | 81% to 100% -- All or nearly all objectives aligned | |
| 8 | 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | Informal agreement by stakeholders |
| 9 | | | Informal agreement by stakeholders | |
| 10 | | | Documented with sign-off by stakeholders | |
| 11 | 1.03 | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved | Most regularly attend executive steering committee meetings |
| 12 | | | Most regularly attend executive steering committee meetings | |
| 13 | | | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings | |
| 14 | 1.04 | Has the agency documented its vision for how changes to the proposed technology will improve its business processes? | Vision is not documented | Vision is partially documented |
| 15 | | | Vision is partially documented | |
| 16 | | | Vision is completely documented | |
| 17 | 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 41% to 80% -- Some defined and documented |
| 18 | | | 41% to 80% -- Some defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all defined and documented | |
| 20 | 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | 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 | Multiple agency or state enterprise visibility |
| 32 | | | Single agency-wide use or visibility | |
| 33 | | | Use or visibility at division and/or bureau level only | |
| 34 | 1.10 | Is this a multi-year project? | Greater than 5 years | Between 1 and 3 years |
| 35 | | | Between 3 and 5 years | |
| 36 | | | Between 1 and 3 years | |
| 37 | | | 1 year or less | |

| | B | C | D | E |
|----|---|--|--|--|
| 1 | Agency: Florida Department of Education | | Project: EFIS Reengineering Project | |
| 3 | Section 2 -- Technology Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 2.01 | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment? | Read about only or attended conference and/or vendor presentation | Installed and supported production system more than 3 years |
| 6 | | | Supported prototype or production system less than 6 months | |
| 7 | | | Supported production system 6 months to 12 months | |
| 8 | | | Supported production system 1 year to 3 years | |
| 9 | | | Installed and supported production system more than 3 years | |
| 10 | 2.02 | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations | External technical resources will be needed through implementation only |
| 11 | | | External technical resources will be needed through implementation only | |
| 12 | | | Internal resources have sufficient knowledge for implementation and operations | |
| 13 | 2.03 | Have all relevant technical alternatives/ solution options been researched, documented and considered? | No technology alternatives researched | Some 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: Florida Department of Education | | Project: EFIS Reengineering Project | |
| 3 | Section 3 -- Organizational Change Management Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 3.01 | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes | Minimal changes to organization structure, staff or business processes structure |
| 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 | No |
| 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 | No |
| 14 | | | No | |
| 15 | 3.05 | Will the agency's anticipated FTE count change as a result of implementing the project? | Over 10% FTE count change | Less than 1% FTE count change |
| 16 | | | 1% to 10% FTE count change | |
| 17 | | | Less than 1% FTE count change | |
| 18 | 3.06 | Will the number of contractors change as a result of implementing the project? | Over 10% contractor count change | 1 to 10% contractor count change |
| 19 | | | 1 to 10% contractor count change | |
| 20 | | | Less than 1% contractor count change | |
| 21 | 3.07 | What is the expected level of change impact on the citizens of the State of Florida if the project is successfully implemented? | Extensive change or new way of providing/receiving services or information) | 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 | No |
| 6 | | | No | |
| 7 | 4.02 | Does the project Communication Plan promote the collection and use of feedback from management, project team, and business stakeholders (including end users)? | Negligible or no feedback in Plan | Negligible or no 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 | No |
| 11 | | | No | |
| 12 | 4.04 | Are all affected stakeholders included in the Communication Plan? | Yes | No |
| 13 | | | No | |
| 14 | 4.05 | Have all key messages been developed and documented in the Communication Plan? | Plan does not include key messages | Plan does not include key messages |
| 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 | No |
| 21 | | | No | |

| | B | C | D | E |
|----|------|--|---|--|
| 1 | | Agency: Florida Department of Education | | Project: EFIS Reengineering Project |
| 3 | | | Section 5 -- Fiscal Area | |
| 4 | # | Criteria | Values | Answer |
| 5 | 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes | No |
| 6 | | | No | |
| 7 | 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% -- None or few defined and documented | 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 \$500K and \$1,999,999 |
| 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 | Not applicable |
| 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 | No payback |
| 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) | Time and Expense (T&E) |
| 42 | | | Firm Fixed Price (FFP) | |
| 43 | | | Combination FFP and T&E | |
| 44 | 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Just-in-time purchasing of 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 is the procurement manager |
| 48 | | | Contract manager is the procurement manager | |
| 49 | | | Contract manager is the project manager | |
| 50 | | | Contract manager assigned is not the procurement manager or the project manager | |
| 51 | 5.15 | Has equipment leasing been considered for the project's large-scale computing purchases? | Yes | No |
| 52 | | | No | |
| 53 | 5.16 | Have all procurement selection criteria and outcomes been clearly identified? | No selection criteria or outcomes have been identified | 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 | Procurement strategy has not been developed |
| 57 | | | Multi-stage evaluation not planned/used for procurement | |
| 58 | | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 59 | 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | Not applicable |
| 60 | | | No, bid response did/will not require proof of concept or prototype | |
| 61 | | | Yes, bid response did/will include proof of concept or prototype | |
| 62 | | | Not applicable | |
| 63 | | | | |
| 64 | | | | |
| 65 | | | | |
| 66 | | | | |

| | B | C | D | E |
|----|---|--|--|--|
| 1 | Agency: Florida Department of Education | | Project: EFIS Reengineering Project | |
| 3 | Section 6 -- Project Organization Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 6.01 | Is the project organization and governance structure clearly defined and documented within an approved project plan? | Yes | Yes |
| 6 | | | No | |
| 7 | 6.02 | Have all roles and responsibilities for the executive steering committee been clearly identified? | None or few have been defined and documented | All or nearly all have been defined and documented |
| 8 | | | Some have been defined and documented | |
| 9 | | | All or nearly all have been defined and documented | |
| 10 | 6.03 | Who is responsible for integrating project deliverables into the final solution? | Not yet determined | Agency |
| 11 | | | Agency | |
| 12 | | | System Integrator (contractor) | |
| 13 | 6.04 | How many project managers and project directors will be responsible for managing the project? | 3 or more | 3 or more |
| 14 | | | 2 | |
| 15 | | | 1 | |
| 16 | 6.05 | Has a project staffing plan specifying the number of required resources (including project team, program staff, and contractors) and their corresponding roles, responsibilities and needed skill levels been developed? | Needed staff and skills have not been identified | Some or most staff roles and responsibilities and needed skills have been identified |
| 17 | | | Some or most staff roles and responsibilities and needed skills have been identified | |
| 18 | | | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented | |
| 19 | 6.06 | Is an experienced project manager dedicated fulltime to the project? | No experienced project manager assigned | Yes, experienced project manager dedicated full-time, 100% to project |
| 20 | | | No, project manager is assigned 50% or less to project | |
| 21 | | | No, project manager assigned more than half-time, but less than full-time to project | |
| 22 | | | Yes, experienced project manager dedicated full-time, 100% to project | |
| 23 | 6.07 | Are qualified project management team members dedicated full-time to the project | None | Yes, business, functional or technical experts dedicated full-time, 100% to project |
| 24 | | | No, business, functional or technical experts dedicated 50% or less to project | |
| 25 | | | No, business, functional or technical experts dedicated more than half-time but less than full-time to project | |
| 26 | | | Yes, business, functional or technical experts dedicated full-time, 100% to project | |
| 27 | 6.08 | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources? | Few or no staff from in-house resources | 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: Florida Department of Education | Project: EFIS Reengineering Project | |
| 3 | | Section 7 -- Project Management Area | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 7.01 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project? | No | Yes |
| 6 | | | Project Management team will use the methodology selected by the systems integrator | |
| 7 | | | Yes | |
| 8 | 7.02 | For how many projects has the agency successfully used the selected project management methodology? | None | More than 3 |
| 9 | | | 1-3 | |
| 10 | | | More than 3 | |
| 11 | 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | All or nearly all |
| 12 | | | Some | |
| 13 | | | All or nearly all | |
| 14 | 7.04 | Have all requirements specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 15 | | | 41 to 80% -- Some have been defined and documented | |
| 16 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 17 | 7.05 | Have all design specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 18 | | | 41 to 80% -- Some have been defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 20 | 7.06 | Are all requirements and design specifications traceable to specific business rules? | 0% to 40% -- None or few are traceable | 0% to 40% -- None or few are traceable |
| 21 | | | 41 to 80% -- Some are traceable | |
| 22 | | | 81% to 100% -- All or nearly all requirements and specifications are traceable | |
| 23 | 7.07 | Have all project deliverables/services and acceptance criteria been clearly defined and documented? | None or few have been defined and documented | Some deliverables and acceptance criteria have been defined and documented |
| 24 | | | Some deliverables and acceptance criteria have been defined and documented | |
| 25 | | | All or nearly all deliverables and acceptance criteria have been defined and documented | |
| 26 | 7.08 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 | | | Only project manager signs-off | |
| 28 | | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 29 | 7.09 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities? | 0% to 40% -- None or few have been defined to the work package level | 0% to 40% -- None or few have been defined to the work package level |
| 30 | | | 41 to 80% -- Some have been defined to the work package level | |
| 31 | | | 81% to 100% -- All or nearly all have been defined to the work package level | |
| 32 | 7.10 | Has a documented project schedule been approved for the entire project lifecycle? | Yes | No |
| 33 | | | No | |
| 34 | 7.11 | Does the project schedule specify all project tasks, go/no-go decision points (checkpoints), critical milestones, and resources? | Yes | No |
| 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: Florida Department of Education | | Project: EFIS Reengineering Project | |
| 2 | | | | |
| 3 | Section 8 -- Project Complexity Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 8.01 | How complex is the proposed solution compared to the current agency systems? | Unknown at this time | Similar complexity |
| 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 | Single location |
| 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 | 5 to 8 |
| 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 | Statewide or multiple agency business process change |
| 27 | | | Agency-wide business process change | |
| 28 | | | Statewide or multiple agency business process change | |
| 29 | 8.08 | Has the agency successfully completed a similarly-sized project when acting as Systems Integrator? | Yes | 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 | |

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|-----|---------|------|
| Agency | DOE | Project | EFIS |
|--------|-----|---------|------|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | 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 | \$1,687,667 | \$0 | \$1,687,667 | \$1,687,667 | \$0 | \$1,687,667 | \$1,687,667 | \$0 | \$1,687,667 | \$1,687,667 | \$0 | \$1,687,667 | \$1,687,667 | \$0 | \$1,687,667 |
| A.b Total Staff | 21.00 | 0.00 | 21.00 | 21.00 | 0.00 | 21.00 | 21.00 | 0.00 | 21.00 | 21.00 | 0.00 | 21.00 | 21.00 | 0.00 | 21.00 |
| A-1.a. State FTEs (Salaries & Benefits) | \$1,347,667 | \$0 | \$1,347,667 | \$1,347,667 | \$0 | \$1,347,667 | \$1,347,667 | \$0 | \$1,347,667 | \$1,347,667 | \$0 | \$1,347,667 | \$1,347,667 | \$0 | \$1,347,667 |
| A-1.b. State FTEs (#) | 18.00 | 0.00 | 18.00 | 18.00 | 0.00 | 18.00 | 18.00 | 0.00 | 18.00 | 18.00 | 0.00 | 18.00 | 18.00 | 0.00 | 18.00 |
| 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) | \$340,000 | \$0 | \$340,000 | \$340,000 | \$0 | \$340,000 | \$340,000 | \$0 | \$340,000 | \$340,000 | \$0 | \$340,000 | \$340,000 | \$0 | \$340,000 |
| A-3.b. Staff Augmentation (# of Contractors) | 3.00 | 0.00 | 3.00 | 3.00 | 0.00 | 3.00 | 3.00 | 0.00 | 3.00 | 3.00 | 0.00 | 3.00 | 3.00 | 0.00 | 3.00 |
| B. Application Maintenance Costs | \$182,403 | \$0 | \$182,403 | \$182,403 | \$0 | \$182,403 | \$182,403 | \$0 | \$182,403 | \$182,403 | \$0 | \$182,403 | \$182,403 | \$0 | \$182,403 |
| B-1. Managed Services (Staffing) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| B-2. Hardware | \$14,771 | \$0 | \$14,771 | \$14,771 | \$0 | \$14,771 | \$14,771 | \$0 | \$14,771 | \$14,771 | \$0 | \$14,771 | \$14,771 | \$0 | \$14,771 |
| B-3. Software | \$12,600 | \$0 | \$12,600 | \$12,600 | \$0 | \$12,600 | \$12,600 | \$0 | \$12,600 | \$12,600 | \$0 | \$12,600 | \$12,600 | \$0 | \$12,600 |
| B-4. Other <i>Specify</i> | \$155,032 | \$0 | \$155,032 | \$155,032 | \$0 | \$155,032 | \$155,032 | \$0 | \$155,032 | \$155,032 | \$0 | \$155,032 | \$155,032 | \$0 | \$155,032 |
| C. Data Center Provider Costs | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 |
| C-1. Managed Services (Staffing) | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 | \$132,410 | \$0 | \$132,410 |
| 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 | \$200,269 | \$78,582 | \$278,851 | \$278,851 | \$0 | \$278,851 | \$278,851 | \$0 | \$278,851 | \$278,851 | \$0 | \$278,851 | \$278,851 | \$0 | \$278,851 |
| 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>Rent, dues, security</i> | \$200,269 | \$78,582 | \$278,851 | \$278,851 | \$0 | \$278,851 | \$278,851 | \$0 | \$278,851 | \$278,851 | \$0 | \$278,851 | \$278,851 | \$0 | \$278,851 |
| Total of Recurring Operational Costs | \$2,202,749 | \$78,582 | \$2,281,331 | \$2,281,331 | \$0 | \$2,281,331 | \$2,281,331 | \$0 | \$2,281,331 | \$2,281,331 | \$0 | \$2,281,331 | \$2,281,331 | \$0 | \$2,281,331 |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-1. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | (\$78,582) | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B | | | |
|--|-------------------------------------|---------------------|---------------|
| Choose Type | | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | <input checked="" type="checkbox"/> | Confidence Level | 90% |
| Order of Magnitude | <input type="checkbox"/> | Confidence Level | |
| 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 | DOE | | EFIS | | CBA Form 2A Baseline Project Budget | | | | | | | | | | | | | | | | | |
| Costs entered into each row are mutually exclusive. Insert rows for detail and modify appropriation categories as necessary, but do not remove any of the provided project cost elements. Reference vendor quotes in the Item Description where applicable. Include only one-time project costs in this table. Include any recurring costs in CBA Form 1A. | | | | | FY2019-20 | | | FY2020-21 | | | FY2021-22 | | | FY2022-23 | | | FY2023-24 | | | TOTAL | | |
| 2 | | | | | \$ 457,315 | | | \$ - | | | \$ - | | | \$ - | | | \$ - | | \$ 1,957,315 | | | |
| 3 | | | | | \$ 1,500,000 | | | | | | | | | | | | | | | | | |
| 4 | Item Description <i>(remove guidelines and annotate entries here)</i> | Project Cost Element | Appropriation Category | Current & Previous Years Project-Related Cost | YR 1 # | YR 1 LBR | YR 1 Base Budget | YR 2 # | YR 2 LBR | YR 2 Base Budget | YR 3 # | YR 3 LBR | YR 3 Base Budget | 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 | Staffing costs for personnel using Time & Expense. | Staff Augmentation | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - | |
| 8 | Project management personnel and related deliverables. | Project Management | Contracted Services | \$ 328,000 | 2.00 | \$ 159,418 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 487,418 | |
| 9 | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | 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 | \$ 814,124 | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 814,124 | |
| 11 | Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - | |
| 12 | Hardware purchases not included in data center services. | Hardware | OCO | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - | |
| 13 | Commercial software purchases and licensing costs. | Commercial Software | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - | |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - | |
| 15 | All first-time training costs associated with the project. | Training | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - | |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ 128,500 | | \$ 128,500 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 257,000 | |
| 17 | Other contracted services not included in other categories. | Other Services | Contracted Services | \$ 111,443 | | \$ 71,445 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 182,888 | |
| 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 | \$ 19,980 | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 19,980 | |
| 19 | Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ 49,353 | | \$ 49,353 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 98,706 | |
| 20 | Other project expenses not included in other categories. | Other Expenses | Expense | \$ 48,599 | | \$ 48,599 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 97,199 | |
| 21 | Total | | | | \$ 1,500,000 | 2.00 | \$ 457,315 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 1,957,315 |

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|------------|---------|-------------|
| Agency | <u>DOE</u> | Project | <u>EFIS</u> |
|--------|------------|---------|-------------|

| 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 (*) | \$457,315 | \$0 | \$0 | \$0 | \$0 | \$1,957,315 |
| CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small> | \$1,957,315 | \$1,957,315 | \$1,957,315 | \$1,957,315 | \$1,957,315 | |
| 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 type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| CUMULATIVE INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

| Characterization of Project Cost Estimate - CBAForm 2C | | |
|--|---------------------|---------------|
| Choose Type | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | Confidence Level | |
| Order of Magnitude Yes | Confidence Level | 90% |
| Placeholder | Confidence Level | |

CBAForm 3 - Project Investment Summary

| | | | |
|--------|------------|---------|-------------|
| Agency | <u>DOE</u> | Project | <u>EFIS</u> |
|--------|------------|---------|-------------|

| COST BENEFIT ANALYSIS -- CBAForm 3A | | | | | | |
|---|---------------|------------|------------|------------|------------|---------------------|
| | FY 2019-20 | FY 2020-21 | FY 2021-22 | FY 2022-23 | FY 2023-24 | TOTAL FOR ALL YEARS |
| Project Cost | \$457,315 | \$0 | \$0 | \$0 | \$0 | \$1,957,315 |
| Net Tangible Benefits | (\$78,582) | \$0 | \$0 | \$0 | \$0 | (\$78,582) |
| Return on Investment | (\$2,035,897) | \$0 | \$0 | \$0 | \$0 | (\$2,035,897) |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B | | |
|---|---------------|---|
| Payback Period (years) | NO PAYBACK | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | NO PAYBACK | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | (\$1,997,152) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | NO IRR | IRR is the project's rate of return. |

| Investment Interest Earning Yield -- CBAForm 3C | | | | | |
|---|------------|------------|------------|------------|------------|
| Fiscal Year | FY 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% |



***Educational Facilities Information System (EFIS) –
Reengineering Project***

State of Florida ♦

Department of Education

Finance and Operations, Educational Facilities

Project Management Plan

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Revision History

| Date | Version | Revised By | Description |
|------------|---------|-------------|--|
| 08/29/2017 | .1 | Gar Schafer | Revised from w/ Master Template |
| 09/1/2017 | .2 | Gar Schafer | Fixed issues with document in footer and naming conventions and formatting |
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Table of Contents

| | | |
|------|------------------------------------|----|
| 1. | Introduction | 4 |
| 2. | Project Charter..... | 5 |
| 2.1 | <i>Overview</i> | 5 |
| 2.2 | <i>Project Charter</i> | 5 |
| 3. | Scope Management Plan..... | 6 |
| 3.1 | <i>Scope Management Plan</i> | 6 |
| 4. | Work Breakdown Structure | 7 |
| 5. | Resource Breakdown Structure | 8 |
| 6. | Master Project Schedule | 9 |
| 6. | Schedule Management Plan | 10 |
| 7. | Work Management Plan..... | 15 |
| 8. | Spending Management Plan | 16 |
| 8.1 | <i>Spending Plan</i> | 16 |
| 9. | Communication Plan..... | 17 |
| 10. | Risk Management Plan | 18 |
| 10.1 | <i>Risk Definition</i> | 18 |
| 10.2 | <i>Risk Management Plan</i> | 18 |
| 11. | Issue Management Plan..... | 23 |
| 11.1 | <i>Issue Definition</i> | 23 |
| 11.2 | <i>Issue Management Plan</i> | 23 |
| 12. | Quality Management Plan | 28 |
| 13. | Change Management Plan | 31 |
| 14. | Procurement Management Plan | 39 |

List of Tables

Table 1: Summary Spending Plan.....16

1. Introduction

The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Finance and Operations, Educational Facilities Information System (EFIS) Reengineering Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

- Introduction
- Project Charter
- Scope Management Plan
- Work Breakdown Structure (WBS)
- Resource Breakdown Structure (RBS)
- Master Project Schedule
- Schedule Management Plan
- Work Management Plan
- Spending Plan
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Quality Management Plan
- Change Management Plan
- Procurement Management Plan

2. Project Charter

The Project Charter for the Florida Department of Education (FDOE), Finance and Operations, Educational Facilities Information System (EFIS) Reengineering Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and, it recognizes the project manager role and gives the project manager the authority to "get the job done." The document is due at initiation of the project.

2.1 Overview

The Educational Facilities Information System (EFIS) is the main software application that supports the collection, monitoring and reporting of all educational facility information for the K-12 Schools and Colleges throughout the State.

The mission of the Office of Educational Facilities is to provide technical support and information for all issues related to educational facilities planning, funding, construction, and operations throughout Florida's K-20 Education System. Based on the Governor's priority for Public Safety, the Department has aligned objectives and activities to ensure school safety and educational facilities for students. Furthermore, based on the Florida Statutes, "...the district school board shall incorporate the specifications, plans, elements, and commitments contained in the school district educational facilities plan and the long-term work programs required under s. 1013.35". Additionally, and in the 2016 LBR Submission, one of the four (4) overall funding priorities included "Providing funds for the repair and maintenance of educational facilities".

2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A

3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification
- Scope Control

3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for acceptance.

Upon approval of scope changes by the Change Control Board and Project Sponsor the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

4. Work Breakdown Structure

The work required to complete this project is subdivided into individual work packages. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project is organized in phases and coincides with the Project Management Institute, Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

The Project had a previous WBS that was based on an internal Modernization and Application Improvement project approach that was executed to about 50% when it was realized that the existing Licensing System obsolescence prevented the completion of the original plan. After a full Project review it was decided that a full replacement of the Licensing System was required to meet Project goals. After an Analysis of Alternatives (AoA): Design and Develop a new system internally, purchase a Commercial off the Shelf (COTS) solution, or procure a Managed Service/Cloud based solution; it was decided to pursue the procurement of a COTS solution that met requirements. As the installation, deployment, acceptance testing, launch, and training will be provided by the Vendor, a new WBS is not available at this time. As soon as it is provided by the Vendor, a link to it will be provided in this document.

5. Resource Breakdown Structure

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

Executive Sponsor - 1

Project Sponsor – 1

Project Manager – 1

Systems or Enterprise Architect/Technical Lead (Developer) – 1

Quality Assurance Analyst – 2 (provided by EFIS)

Business Analyst – 1

Developers – 2

DBA – 1 (assistance as needed)

6. Master Project Schedule

The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained Microsoft Project. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

6. Schedule Management Plan

The purpose of the Schedule Management Plan is to define the approach the project team will use in creating the project schedule. This plan also includes how the team will monitor the project schedule and manage changes after the baseline schedule has been approved. This includes identifying, analyzing, documenting, prioritizing, approving or rejecting, and publishing all schedule-related changes.

The Schedule Management Plan is organized into the following sections:

- Schedule Management Approach
- Work Breakdown Structure
- Schedule Control
- Schedule Changes
- Scope Changes

Schedule Management Approach

This section provides a general framework for the approach which will be taken to create the project schedule. This includes the scheduling tool/format, schedule milestones, and schedule development roles and responsibilities.

Schedule Tool/Format

Project schedules will be created using Microsoft Project.

Activity definition will identify the specific work packages which must be performed to complete each deliverable. Activity sequencing will be used to determine the order of work packages and assign relationships between project activities. Activity duration estimating will be used to calculate the number of work periods required to complete work packages.

Resource estimating will be used to assign resources to work packages in order to complete schedule development.

Schedule Milestones

Once a preliminary schedule has been developed, it will be reviewed by the project team and any resources tentatively assigned to project tasks. The project team and resources must agree to the proposed work package assignments, durations, and schedule. Once this is achieved the Project Sponsor will review and approve the schedule and it will then be baselined.

The following will be designated as milestones for the project schedule:

- Completion of scope statement, Work Breakdown Structure (WBS) and Resource Breakdown Structure (RBS)

- Baseline project schedule
- Approval of final project budget
- Project kick-off
- Approval of roles and responsibilities
- Requirements definition approval
- Completion of data mapping/inventory
- Project implementation
- Acceptance of final deliverables

Project Manager Roles and Responsibilities

The Project Manager will take responsibility for overall project management and will work with the Project Sponsor to coordinate activities such as:

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

- Serve as the primary point of contact for the Project Manager, confirm the project work plan and facilitate issue resolution.
- Provide kick-off meeting facility and identify and invite participants.
- Provide the team with working space facilities, including internet connectivity, access to required technology.
- Provide meeting rooms and equipment such as projectors as needed.
- Actively participate in all project working sessions and management meetings.

- Monitor and ensure resolution of all issues.
- Approve status reports and communications prior to distribution.
- Approve all deliverables.

Work Breakdown Structure

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* describes the Work Breakdown Structure (WBS) as "a deliverable-oriented hierarchical decomposition of the work to be executed by the team".

The WBS for the EFIS Conversion Project is organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing.

Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

The project team is responsible for participating in weekly schedule updates/reviews; communicating any changes to actual start/finish dates to the Project Manager; and participating in schedule variance resolution activities as needed.

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

Reporting

The progress of, and changes to the project schedule, will be reported in accordance with the project's Communications Plan.

Schedule Changes

If any member of the project team determines that a change to the schedule is necessary, the Project Manager and team will meet to review and evaluate the change. The Project Manager and project team must determine which tasks will be impacted, variance as a result of the potential change, and any alternatives or variance resolution activities they may employ to see how they would affect the scope, schedule, and resources.

If, after this evaluation is complete, the Project Manager determines that any change will exceed the established boundary conditions, then a schedule change request must be submitted.

Submittal of a schedule change request to the Project Sponsor for approval is required if either of the two following conditions is true:

- The proposed change is estimated to reduce the duration of an individual work package by 10% or more, or increase the duration of an individual work package by 10% or more.
- The change is estimated to reduce the duration of the overall baseline schedule by 10% or more, or increase the duration of the overall baseline schedule by 10% or more.
- Any change requests that **do not meet** these thresholds may be submitted to the project manager for approval.

Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The

Change Management process and will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.

7. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

8. Spending Management Plan

This section presents the project spending plan and the high level project schedule for the Microsoft Project.

8.1 Spending Plan

The Educational Facilities Information System (EFIS) Reengineering Project is funded each fiscal year. The table below shows the cost of the project projected for 2017-18.

Table 1: Summary Spending Plan

| Project Cost Element | Appropriation Category | YR 1 LBR | YR 2 LBR | TOTAL |
|--|------------------------|---------------------|-------------------|---------------------|
| Project Management - PM at \$125/hr, BA at \$86.71/hr | Contracted Services | \$ 328,000 | \$ 164,000 | \$ 492,000 |
| Consultants/Contractors | Contracted Services | \$ 814,124 | \$ 324,000 | \$ 1,138,124 |
| Data Center Services - One Time Costs | Data Center Category | \$ 128,500 | \$ 128,500 | \$ 257,000 |
| Other Services - Unexpected costs (@10%) | Contracted Services | \$ 111,443 | \$ 71,445 | \$ 182,888 |
| Equipment | Expense | \$ 19,980 | \$ - | \$ 19,980 |
| Leased Space, prorates for security, etc. | Expense | \$ 49,353 | \$ 49,353 | \$ 98,706 |
| Other Expenses - cost recovery | Expense | \$ 48,599 | \$ 48,599 | \$ 97,199 |
| Total | | \$ 1,500,000 | \$ 785,897 | \$ 2,285,897 |

9. Communication Plan

The Communication Plan describes the planned and periodic communications between the EFIS Reengineering Project and the ARM Maintenance Team, as well as project communication between the EFIS Project Team and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix

The Communication Plan is filed for reference in the Project Documentation Folder.

10. Risk Management Plan

This section presents the Risk Management Plan for the EFIS Reengineering Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint™ Risk Management Database.

Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the EFIS Reengineering Project.¹ The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the EFIS Reengineering Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the EFIS Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

¹ David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

| Risk Probability | | |
|------------------|-----------|----------------------|
| Low | < 30% | unlikely to occur |
| Medium | 31% - 50% | may occur |
| High | 51% - 80% | probably will occur |
| Very High | > 80% | very likely to occur |

| Risk Impact | | | |
|-------------|----------------------|---|--------------------------|
| | <u>Cost Increase</u> | <u>Scope Change</u> | <u>Schedule Increase</u> |
| Minor | < 5% | Barely | < 5% |
| Moderate | 5% - 8% | Minor areas of deliverable(s) | 5% - 10% |
| Serious | 9% - 10% | Major areas of deliverable(s) | 11% - 15% |
| Critical | > 10% | Failure to complete deliverable or failure to achieve project objective | >15% |

| Probability x Impact Rank | | | | |
|---------------------------|--------------|-----------------|----------------|-----------------|
| | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low | Low(1) | Low(1) | Medium(2) | High(3) |
| Medium | Low(1) | Medium(2) | Medium(2) | High(3) |
| High | Low(1) | Medium(2) | High(3) | High(3) |
| Very High | Low(1) | High(3) | High(3) | Very High(4) |

Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the EFIS Project Team and the Project Sponsor. Input from EFIS subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date.

The initial development of the Risk Management Database will be completed by the EFIS Project Team. The Risk Management Database will be updated on an ongoing basis by the EFIS Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The EFIS Project Team will use the Risk Management Database as the system of record and store it in the EFIS SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and EFIS Project Team in the weekly status meeting. The EFIS Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook, and update the Project Workbook and upload it to the EFIS Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

Risk Management Responsibilities

The responsibility for managing risk is shared between the EFIS Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity | Responsibility |
|---------------------------------------|--|
| Identify risks | All – EFIS Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial identification was made by the Project Sponsor and Project Manager. |
| Assess risks | All – EFIS Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial assessment was made by the Project Sponsor and Project Manager. |
| Plan risk responses | All – EFIS Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial responses were planned by the Project Sponsor and Project Manager. |
| Approve risk responses | Project Sponsor |
| Develop Risk Management Database | Project Manager and EFIS Project Team |
| Maintain Risk Management Database | Project Manager |
| Develop or take risk response actions | Risk Owner |
| Manage risk responses | Project Manager, EFIS Project Team |
| Report risks | Project Manager, EFIS Project Team |

Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint™. It is reviewed and updated as necessary on a weekly basis.

Risk Breakdown Structure (RBS)

| RBS LEVEL 1 | RBS LEVEL 2 | |
|---------------------------|-------------|-------------------------------------|
| 1. Technical Risk | 1.1 | Scope Definition |
| | 1.2 | Requirements Definition |
| | 1.3 | Estimates, Assumptions, Constraints |
| | 1.4 | Technical Processes |
| | 1.5 | Technology |
| | 1.6 | Interfaces |
| | 1.7 | Design |
| | 1.8 | Performance |
| | 1.9 | Reliability & Maintainability |
| | 1.10 | ADA |
| | 1.11 | Security |
| | 1.12 | Test & Acceptance |
| 2. Management Risk | 2.1 | Project Management |
| | 2.2 | Program Management |
| | 2.3 | Operations Management |
| | 2.4 | Organization |
| | 2.5 | Resourcing |
| | 2.6 | Communication |
| | 2.7 | Information |
| | 2.8 | Health, Safety, & Environment |
| | 2.9 | Quality |
| | 2.10 | Reputation |
| 3. Business Risk | 3.1 | Contractual Terms & Conditions |
| | 3.2 | Internal Procurement |
| | 3.3 | Contractor |
| | 3.4 | Subcontracts |
| | 3.5 | Client/Customer Stability |
| | 3.6 | Stakeholders |
| 4. External Risk | 4.1 | Legislation |
| | 4.2 | Exchange Rates |
| | 4.3 | Site / Facilities |
| | 4.4 | Environment / Weather |
| | 4.5 | Competition |
| | 4.6 | Regulatory |
| | 4.7 | Political |
| | 4.8 | Country |
| | 4.9 | Social / Demographic |
| | 4.10 | Pressure Groups |
| | 4.11 | Force Majeure |

11. Issue Management Plan

This section presents the Issue Management plan for the Bureau of Educator Certification Conversion Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

11.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- the resolution is in question or lacking agreement among stakeholders
- it is highly visible or involves external stakeholders such as requests or directives from control agencies
- it has critical deadlines or timeframes that cannot be missed
- it can result in an important decision or resolution for which the rationale and activities must be captured for historical purposes
- it has critical deadlines that may impede project progress.

Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

11.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint™ and maintained there for history.

Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance.

Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the EFIS Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the EFIS Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the EFIS Project Manager via e-mail. Prospective issues shall be entered by the EFIS Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly Educational Facilities Information System (EFIS) – Reengineering Project Status Meeting.

Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented SharePoint™. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint™ will be updated weekly as needed by the EFIS Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The EFIS Project Team will use Microsoft Project as the system of record. The Project Manager will add any new issues identified to Microsoft Project. These items will be discussed with Project Sponsor and EFIS Project Team in the weekly status meeting.

Issue Management Responsibilities

The responsibility for managing issues is shared between the EFIS Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity | Responsibility |
|--|--|
| Identify issues | All – EFIS Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial identification will be made by the Project Sponsor and Project Manager. |
| Validate issues | All – EFIS Project Team, Project Sponsor, subject matter experts, and other stakeholders. |
| Assign issues | EFIS Project Manager, Project Sponsor, and Project Manager. |
| Approve issue responses | Project Sponsor and/or |
| Develop Issue Management Database | Project Manager and EFIS Project Team |
| Maintain Issue Management Database | Project Manager |
| Develop or take issue response actions | Issue Owner |
| Manage issue responses | Project Manager, EFIS Project Team |
| Report issues | Project Manager, EFIS Project Team |

Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the EFIS Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible
2. Attempts to resolve must be made by appropriate parties prior to escalation

3. The issue owner, as identified by the issue tracker, completes the **Issue Submission Form** with a brief issue write-up identifying the issue, concerns, and positions of involved parties
4. The issue owner schedules a meeting to discuss with involved parties
5. The issue is ENTERED on the Issue Register for tracking
6. The issue owner provides the issue write-up at least 24 hours prior to meeting
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered)
9. Once escalation need is identified, notice is sent to the next levels of management (Project Sponsor and)
10. Issue review process is repeated at the next level of management

Issue Submission Form

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

Sample Issue Submission Form

A sample of the Issue Submission Form is shown on the following page.

| ISSUE SUBMISSION FORM | | |
|------------------------------|---------------------------|-----------------------|
| Issue Number: | Reported By: | Date Reported: |
| Issue Status: | Issue Assigned To: | Date Resolved: |
| Description of Issue: | | |
| Project Impact: | | |

Alternatives and Recommendation(s):

Final Resolution:

15. Quality Management Plan

Introduction

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the EFIS Reengineering Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

Approach

This section describes the approach the EFIS Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the Bureau of Educator Certification Conversion Project beginning in the first phase of the project in order to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

Quality Management Approach Overview



Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
- Ensure the quality of the system development process, project artifacts, and project products to EFIS and its stakeholder meet their requirements

Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

16. Change Management Plan

The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

Change Management Process

This section provides the Change Management process which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

Change Request Process Stages

Change Request Initiation: Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.

Change Impact Estimation: Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.

Approvals and Acceptance: The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage | Step | Description |
|-------------------|---------------|---|
| Initiation | Generate CR | A submitter completes a CR Form and sends the completed form to the Project Manager |
| Initiation | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed. |
| Impact Estimation | Evaluate CR | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change |
| Approval | Authorize | Approval to move forward with incorporating the suggested change into the project/product |
| Approval | Implement | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in **Appendix A – EFIS Change Request Form**.

A sample copy of the EFIS Change Request Form is provided in the table below:

Table 3. EFIS Change Request Form

EFIS Change Request Form:

| Change Request | |
|--|-------------------|
| Project: | Date: |
| Change Requestor: | Change No: |
| Change Category (Check all that apply): | |
| <input type="checkbox"/> Schedule <input type="checkbox"/> Cost <input type="checkbox"/> Scope <input type="checkbox"/> Requirements/Deliverables <input type="checkbox"/> Testing/Quality <input type="checkbox"/> Resources | |
| Does this Change Affect (Check all that apply): | |
| <input type="checkbox"/> Corrective Action <input type="checkbox"/> Preventative Action <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates <input type="checkbox"/> Other | |
| Describe the Change Being Requested: | |
| Describe the Reason for the Change: | |
| Describe all Alternatives Considered: | |
| Describe any Technical Changes Required to Implement this Change: | |
| Describe Risks to be Considered for this Change: | |
| Estimate Resources and Costs Needed to Implement this Change: | |
| Describe the Implications to Quality: | |
| Disposition: | |
| <input type="checkbox"/> Approve <input type="checkbox"/> Reject <input type="checkbox"/> Defer | |
| Justification of Approval, Rejection, or Deferral: | |

| Change Board Approval: | | |
|-------------------------------|------------------|-------------|
| Name | Signature | Date |
| | | |
| | | |

Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the EFIS Change Request Form included in Appendix A – EFIS Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.

b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

Team Member Roles and Responsibilities

The Project Management Institute’s *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

Table 4. RASCI Matrix

| | | | | | | | | | | | | |
|---|------------------------|--|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|--|
| ROLE Definitions | | | | | | | | | | | | |
| R Responsible The person who will perform the task. | | | | | | | | | | | | |
| A Accountable The person who is ultimately accountable. | | | | | | | | | | | | |
| S Support The person(s) who will assist the Responsible in completing the task. | | | | | | | | | | | | |
| C Consulted The person(s) whose opinions are sought for the task. | | | | | | | | | | | | |
| I Informed The person(s) who are kept up-to-date on task status. | | | | | | | | | | | | |
| TASKS/ACTIVITIES | Project Manager | | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team | |

| Initiation Tasks | | | | | | | | | | | |
|-------------------------------|-----|-----|---|---|---|---|---|---|---|---|---|
| 1. Generate Change Request. | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I | I | I | I | I | I | I | I | I | I |

Table 2. RASCI Matrix

| ROLE Definitions | Project Manager | | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
|---|-----------------|--|-----------------|-------------------------|-----------------------|--------------------|---------------|---------------------|------------------|--------------------------|------------------|
| R Responsible The person who will perform the task. | | | | | | | | | | | |
| A Accountable The person who is ultimately accountable. | | | | | | | | | | | |
| S Support The person(s) who will assist the Responsible in completing the task. | | | | | | | | | | | |
| C Consulted The person(s) whose opinions are sought for the task. | | | | | | | | | | | |
| I Informed The person(s) who are kept up-to- | | | | | | | | | | | |

| | | | | | | | | | | | | |
|------------------------------|-----|-------|---|-----|---|---|---|---|---|---|---|---|
| date on task status. | | | | | | | | | | | | |
| TASKS/ACTIVITIES | | | | | | | | | | | | |
| Impact Estimate Tasks | | | | | | | | | | | | |
| 5. Evaluate Change Request. | C | C,R,A | I | I | C | C | C | C | C | C | C | C |
| Approval Tasks | | | | | | | | | | | | |
| 6. Authorize Change Request. | I | I | I | A,R | I | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C | I | I | I | I | I | I | I | I | I | I |
| | | | | | | | | | | | | |

17. Procurement Management Plan

The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management

Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a *Guidebook to Public Procurement* to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. It was created by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' *Guidebook to Public Procurement* is revised each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify all items to be

procured for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action is selected based on requirements.

Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, procurement deadlines are usually affected by the project schedule and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. This is usually performed by the Business Analysts on the project team.

Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that its decision was based upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). It is then up to the Project Sponsor to set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the EFIS Operations Supervisor who will check to see if the item is already available within EFIS. If not, then the specifications for the requirements should be provided to the EFIS Bureau Chief Staff Assistant so that it can be entered into the **MyFloridaMarketPlace eQuote** system for purposes of requesting quotes.

Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

Schedule: Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.

Cost: Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.

Scope: All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

Resources: All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.

Technology: Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
 - a. Contract Manager verifies with the Technical Contact any missing information
 - b. Contract Manager creates the Requisition in **MyFloridaMarketPlace** (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
 - a. Contract cover sheet
 - b. Purchase Order
 - c. Contract management check list
 - d. RFQ or SOW
 - e. Resume
 - f. Disclosure statement
 - g. Drug-free work place form
 - h. References
 - i. Skills matrix
 - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

System Requirements Specification

Educational Facilities Information System (EFIS)

Revision: 1.0

Table of Contents

| | |
|---|-----------|
| 1. <u>FUNCTIONAL REQUIREMENTS</u> | 3 |
| 1.1. REFERENCE TABLES..... | 3 |
| 1.2. RECORD AUDITING..... | 3 |
| 1.3. ACTIVE / PENDING / INACTIVE STATUSES | 3 |
| 1.4. RECORD CHANGE TRACKING AND RECOVERY | 3 |
| 1.5. EVENT LOGGING | 3 |
| 1.6. E-MAIL NOTIFICATION | 3 |
| 1.7. ERROR HANDLING..... | 4 |
| 1.8. SIMULATION / TRAINING ENVIRONMENT..... | 4 |
| 2. <u>BUSINESS RULES</u> | 5 |
| 2.1. RULE VIOLATION MESSAGES | 5 |
| 3. <u>SECURITY REQUIREMENTS</u> | 6 |
| 3.1. USERS | 6 |
| 3.3. ROLES | 6 |
| 3.5. PASSWORD RECOVERY / RESET | 6 |
| 4. <u>USER INTERFACE (UI) REQUIREMENTS</u> | 7 |
| 4.1. USER SYSTEM REQUIREMENTS..... | 7 |
| 4.2. REFERENCE TABLE INPUTS..... | 7 |
| 4.3. USER STATUS DISPLAY | 7 |
| 4.4. ONLINE HELP | 7 |
| 4.5. STATUS INFORMATION DISPLAY | 7 |
| 4.6. EDIT SCREENS | 7 |
| 4.7. DATAGRIDS | 7 |
| 4.8. REFERENCE TABLES..... | 7 |
| 4.9. NAVIGATION | 7 |
| 4.10. CONFIRMATION MESSAGES..... | 8 |
| 4.11. ERROR MESSAGES..... | 8 |
| 5. <u>REPORTING REQUIREMENTS</u> | 9 |
| 5.1. GENERAL..... | 9 |
| 6. <u>INTEGRATION REQUIREMENTS</u> | 10 |

1. Functional Requirements

This section defines requirements for general functionality that needs to be present throughout the entire system.

1.1. Reference Tables

- 1.1.1. All reference table elements within the system will consist of numeric or alphanumeric codes and descriptions.
- 1.1.2. There should be an interface by which authorized Super users can perform maintenance on these tables.

1.2. Record Auditing

- 1.2.1. All database tables will maintain a set of audit fields that will be automatically populated by the system as defined below:
 - 1.2.1.1. CreateUserID – The unique identifier of the user who initially created the record.
 - 1.2.1.2. CreateTime – The date and time on which the record was created.
 - 1.2.1.3. CreateApp – The name of the application that was used to create the record.
 - 1.2.1.4. UpdateUserID = The unique identifier of the user who last updated the record.
 - 1.2.1.5. UpdateTime – The date and time on which the record was last updated.
 - 1.2.1.6. UpdateApp – The name of the application that was used to last update the record.

1.3. Active / Pending / Inactive Statuses

- 1.3.1. All major entities in the EFIS system should have the ability to have its status tracked over time. The statuses are defined as follows:
 - 1.3.1.1. Active – The record is active within the system and appears on screen and in reports.
 - 1.3.1.2. Pending – The record is pending approval, but appears on screen and on reports.
 - 1.3.1.3. Inactive – The record has been removed. It remains in the database, but doesn't appear on screen or in reports.
- 1.3.2. Super users will have the ability to approve or reject pending records. When rejecting a pending record, the change that triggered the pending status will be automatically undone. For example, if the record was pending because it was recently added, then it will be removed. If it is pending due to a recent update, then the update will be rolled back.
- 1.3.3. Super users will have the ability to locate, view, and recover removed records.

1.4. Record Change Tracking and Recovery

- 1.4.1. All major entities in the EFIS system should have the ability to track individual updates over time for historical reporting purposes.
- 1.4.2. The EFIS system should have the ability to generate point-in-time snapshots of data to be made available to OEF for querying and reporting purposes.

1.5. Event Logging

- 1.5.1. The system must be capable creating log entries when certain predefined events occur within the EFIS system. In general, each EFIS sub system will define the events that it needs to have logged. In addition, the following global events will be logged:
 - 1.5.1.1. A user recovers a forgotten password.
 - 1.5.1.2. A user initially registers for access to the system.
 - 1.5.1.3. A user is approved for access to the system.
 - 1.5.1.4. A user is disapproved for access to the system.
- 1.5.2. The system must provide a mechanism by which users can view these log events with the following filter criteria (or combination of filter criteria):
 - 1.5.2.1. Date Range.
 - 1.5.2.2. District.
 - 1.5.2.3. Username.

1.6. E-mail Notification

- 1.6.1. The system must be capable of delivering e-mail notifications to certain types of users when certain events are logged. In general, each EFIS sub system will define the events and related notifications. In addition, the following global notifications will be defined:
 - 1.6.1.1. District level security contacts will receive a notification when new users request access to data in their district, and when those users are approved or denied.
 - 1.6.1.2. The user requesting access to the system will receive a notification when their pending registration is approved or denied.
- 1.6.2. In order to support sending notifications to district level contacts that are not registered users of the system, a list of these contacts will be maintained in the EFIS database. Each contact will fall into one of the following categories:
 - 1.6.2.1. Security Contacts.
 - 1.6.2.2. Superintendents.
 - 1.6.2.3. Facilities Planners.

1.7. Error Handling

- 1.7.1. The system must handle all unexpected errors. The error information should be logged to a central location and the users should be informed of any errors either through e-mail notification, event log display, or on-screen error message(s).
 - 1.7.1.1. The wording of any on-screen error messages must be user-friendly.
- 1.7.2. The technical support staff of the application should be notified of errors and be given an interface to view the error log information for diagnostic purposes.

1.8. Simulation / Training Environment

- 1.8.1. Periodically it may be necessary to move data from the production database into a separate environment to allow OEF staff to perform simulations or conduct training sessions without disturbing live data.
- 1.8.2. The functionality within this separate environment must be virtually identical to that of the production system while still allowing the user to easily distinguish between the two.

1.9. Administrative Functionality

- 1.9.1. The system will support the following administrative functionality:
 - 1.9.1.1. Create system messages that will be presented to users upon logging in.
 - 1.9.1.2. Approve pending users.
 - 1.9.1.3. Manage existing users.
 - 1.9.1.4. Manage district level contacts.
 - 1.9.1.5. Manage help text prompts.

2. Business Rules

Business Rules define the ways an organization can most effectively implement its processes. In general, each EFIS sub system will define its own set of business rules for validating the data that it needs to capture and manipulate. The items below define general business rules that apply to the entire EFIS system.

2.1. Rule Violation Messages

- 2.1.1. The EFIS system must provide users with easy to understand messages whenever a business rule is violated.
- 2.1.2. These messages should be clearly displayed
- 2.1.3. The messages should be stored in a manner that allows them to be easily updated over time.

3. Security Requirements

This section defines the security levels, the types of access, and processes for validating users who are authorized to access EFIS to read, change, delete, or add records to the system.

3.1. Users

- 3.1.1. DOE staff should be able to access the system using their Windows login credentials.
- 3.1.2. Non-DOE users will need to go through a registration process where they enter user information and select a username and password combination. This information will need to be verified and approved by a Superuser member prior to account activation.
- 3.1.3. Superusers should have an interface to approve new external users, grant internal users access, and assign users to roles.

3.2. Organization Membership

- 3.2.1. All users of the system must belong to one and only one organization.
- 3.2.2. Users who are not a member of the DOE organization will be limited to accessing data only within their particular district.
- 3.2.3. Members of the DOE organization will have access to data in all districts.

3.3. Roles

- 3.3.1. The security roles defined below represent a standard set of roles that may be used by individual sub systems with EFIS. Each sub system may, however, define security roles as needed.
- 3.3.2. All users of the system must be a member of at least one security role for one EFIS sub system, but may be members of multiple roles across multiple sub systems.
 - 3.3.2.1. **ReadOnly** – These users can view data on screen and run reports but are not allowed to add, change, or remove data.
 - 3.3.2.2. **Updates** – These users can view data on screen, run reports, and well as modify data.
 - 3.3.2.3. **Superuser** – These users have full administrative access to the system.

3.4. Profiles

- 3.4.1. Profile information for all users should be securely maintained in the database. The information should include Name, E-mail address, Secret question/answer for password recovery, and the district or organization the user belongs to.
 - 3.4.1.1.1. Needed profile fields:
 - 3.4.1.1.1.1. First Name.
 - 3.4.1.1.1.2. Last Name.
 - 3.4.1.1.1.3. District.
 - 3.4.1.1.1.4. Role.
 - 3.4.1.1.1.5. Username.
 - 3.4.1.1.1.6. Password.
 - 3.4.1.1.1.7. Secret Question / Answer.
 - 3.4.1.1.1.8. E-mail address.

3.5. Password Recovery / Reset

- 3.5.1. Users need a method to recover their passwords using the secret question and answer mechanism.
- 3.5.2. Superusers need an interface through which user passwords can be reset. When reset, the system will set the password to a random character string and send it to the e-mail address on file for the user.

4. User Interface (UI) Requirements

These requirements are related to the web application that is to serve as the front end of the new EFIS system. These items define the overall 'look and feel' of the application in addition to common UI elements that need to be available in all areas of the application.

4.1. User System Requirements

4.1.1. Users must have the following minimum system specifications:

4.1.1.1. Windows based PC.

4.1.1.2. Microsoft Internet Explorer version 5.0 or later.

4.1.1.3. Internet connection.

4.1.1.4. Monitor and video card supporting resolutions of 800x600 or higher.

4.1.1.4.1. The target resolution of web pages in this application will be 800x600, but all pages will be scaled to the full-size of the user's web browser window even at higher resolutions.

4.2. Reference Table Inputs

4.2.1. Users should be able to either enter the numeric or alphanumeric code of the reference element they wish to input or select the code from a drop down list.

4.2.1.1. After entering or selecting the reference element code, the corresponding description should be displayed to the right of the input control.

4.3. User Status Display

4.3.1. All screens should display the user name of the person currently logged into the system.

4.4. Online Help

4.4.1. An electronic version of each EFIS sub systems' user manual needs to be created.

4.4.2. All screens should have easy access to the appropriate user manual and section within that manual pertaining to the particular portion of the application currently being used.

4.5. Status Information Display

4.5.1. District users should be presented with a list of recent modifications and items requiring attention upon login.

4.5.2. Each EFIS subsystem will have its own status area summarizing modifications and items requiring attention.

4.6. Edit Screens

4.6.1. Edit screens should include information about the current record including:

4.6.1.1. District.

4.6.1.2. Audit information (user who created it, user who last updated it.)

4.6.2. When viewing a record through an edit screen, the user should have the ability to refresh their screen with data that is in the database.

4.7. Datagrids

4.7.1. All data grids should have a fixed height and contain scrollbars to show extra data if necessary.

4.8. Reference Tables

4.8.1. All reference table input controls will accept both keyed and mouse driven input. Using the mouse, users will be able to view a list of all acceptable codes and descriptions. Using the keyboard, users will be able to input the desired code.

4.9. Navigation

4.9.1. The site navigation component should be present on every screen, allowing the user to quickly navigate to any other section of the application.

4.9.2. The site navigation component should also be collapsible in order to help users make the best use of screen space.

4.9.3. Screens directly related to adding and updating records should contain controls to allow users to quickly switch the record they are currently working with.

4.10. Confirmation messages

- 4.10.1. All 'delete', 'cancel', and 'remove' operations must cause a confirmation dialog to be presented to the user and require confirmation before accepting the operation.

4.11. Error messages

- 4.11.1. Messages resulting from unexpected errors (e.g., database or network issues), business rule violations, or concurrency errors will be presented to the user via red text near the top of the current screen.
- 4.11.2. Messages resulting from input validation failure should be displayed next to the input control causing the failure.
- 4.11.3. In order to provide meaningful error messages to the user, pre-defined error messages should be created for common scenarios such as database connection failures and business rule violations. A document outlining these messages and the conditions under which they should be displayed will be created in a later development phase.

5. Reporting Requirements

These requirements pertain to the various reports that are available to users in the current system along with any new reports or reporting requirements that need to be built into the new system.

5.1. General

- 5.1.1. Reports should be background processed and not tie up a user's session.
- 5.1.2. Users should be able to print only certain pages of the report if they wish.
- 5.1.3. Users should be able to run any report on only the particular facilities/parcels/buildings/rooms that they wish to see.
- 5.1.4. Users should have the option to have comments print on reports.
- 5.1.5. Users must not be allowed to run reports on inventory data that has not been through the reevaluation process.
- 5.1.6. Reports will be available in the following formats:
 - 5.1.6.1. HTML (web page).
 - 5.1.6.2. Adobe Portable Document Format (.pdf).
 - 5.1.6.3. Microsoft Excel Spreadsheet (.xls).

6. Integration Requirements

This section defines the various EFIS elements that will be integrated by the new EFIS system.

Most, if not all, of these requirements will not be implemented until other systems are redesigned.

- 6.1.** FISH Integration with Five Year Survey
 - 6.1.1. When removing a facility, the system must check recent approved Educational Plant Surveys to determine if any recommendation for the removal of the facility was made.
 - 6.1.1.1. If the proper recommendation is found:
 - 6.1.1.1.1. The facility
 - 6.1.2. For ancillary facilities, the primary use will be pulled from the survey when the new facility record is created.
- 6.2.** If an entity deletion is occurring as a result of an educational plant survey recommendation, attach the educational plant survey # and version # to the record before moving it to the history table.
- 6.3.** The system should be programmed to check the most recent OEF-approved educational plant survey or subsequent amendment (aka spot or supplemental survey) before a Facility, a Parcel, or a Building is deleted from FISH.
- 6.4.** There must be an OEF-approved educational plant survey recommendation in order to add a Facility to FISH and the Project Tracking System must indicate that required documents have been received.
- 6.5.** The FISH COC and Recommended Grades to be Housed (Low & High) should be extracted from the most recent OEF-approved educational plant survey recommendation for the Facility.
- 6.6.** For non-instructional facilities (aka ancillary) the system should extract the FISH Use from the most recent OEF-approved educational plant survey recommended Use.
- 6.7.** When an educational plant survey or supplemental survey is approved the system should automatically update the FISH Facility record i.e., the COC, the Recommended Grades to be housed, and the primary use of non-instructional facilities (instructional facilities that have COFTE assigned or are planned for COFTE should not be automatically updated.)
- 6.8.** There must be an OEF-approved educational plant survey recommendation in order to delete a Facility even when all permanent buildings are greater than 50 years old. If there is no OEF-approved educational plant survey recommendation to delete the facility, do not delete the facility.
- 6.9.** Facility suffix should be obtained from the 5 year educational plant survey, or, in certain cases, determined by COFTE reported at the facility.
- 6.10.** Obtain the facility COFTE from the 5 year educational plant survey.
- 6.11.** If a Facility record is in FISH, it must be referenced in the educational plant survey, even if it is just to recommend continued use.
 - 6.11.1. Each facility requires a minimum of three (3) educational plant survey recommendations:
 - 6.11.1.1. Capital Outlay Classification.
 - 6.11.1.2. Grades Recommended to be Housed.
 - 6.11.1.3. Primary Use of the Facility.

Outstanding Issues

| | Issue Description | Date Entered |
|--|-------------------|--------------|
| | | |

Resolved Issues

| | Issue Description | Resolution | Date Resolved |
|--|-------------------|------------|---------------|
| | | | |

Revision History

| Rev. | Date | Person Responsible | Description |
|-------------|-----------------|---------------------------|--|
| 1.0 | August 24, 2007 | Jesse Taber | Initial content gathered from various other sources. |

Functional Design Specification

Five Year Survey

Version: 1.0

TABLE OF CONTENTS

| | |
|---|----------|
| DESIGN OVERVIEW | 1 |
| USER SERVICES..... | 2 |
| 1 – FACILITY LIST | 2 |
| <i>Requirements Satisfied</i> | 2 |
| 1.1 – Facility List Screen..... | 2 |
| 1.2 – Facility List Screen..... | 3 |
| 2 – GENERAL SURVEY INFORMATION..... | 4 |
| <i>Requirements Satisfied</i> | 4 |
| 2.1– New Survey | 4 |
| 2.2 – Survey Details..... | 5 |
| 2.2.1 Whole Survey Report..... | 6 |
| 2.3 – Recommendations | 7 |
| 2.3.1 – Site Improvements | 8 |
| 2.4 – Recommendation Details..... | 9 |
| 2.5 – Adding/Editing Recommendation Details | 10 |
| 2.5.1 – New Construction..... | 10 |
| 2.5.2 – Remodeling..... | 11 |
| 2.5.3 – Renovation..... | 11 |
| 2.6 – Student Membership..... | 12 |
| 2.7 – Check and Submit..... | 14 |
| 2.8 – Survey List | 15 |
| 2.9 – Surveys Awaiting Approval | 15 |
| 3 – PROJECT PRIORITY LIST..... | 15 |
| <i>Requirements Satisfied</i> | 15 |
| 3.1 – Add a Project Priority List..... | 16 |
| 3.3 – Project Priority List Details..... | 17 |
| 3.5 – Approval of Project Priority Lists | 18 |

User Services

1 – Facility List

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |
| | | |

1.1 – Facility List Screen

The screenshot shows a web application window titled "Facility Lists" with a help icon. It contains two dropdown menus: "Organization" set to "0 - Unit Testing Organization" and "Survey" set to "Survey 3.1 -- 1/1/2007". Below these is a table with the following data:

| | Facility Use | Min. Grade | Max. Grade |
|------------------------|-------------------|-----------------------|-----------------------|
| Select | NOT APPLICABLE | GRADE 1 | GRADE 1 |
| Select | COMBINATION | KINDERGARTEN | GRADE 1 |
| Select | SENIOR HIGH | GRADE 9 | GRADE 12 |
| Select | COMMUNITY SERVICE | COUNTY ADMINISTRATION | COUNTY ADMINISTRATION |
| Select | JUNIOR HIGH | GRADE 6 | GRADE 8 |
| Select | ELEMENTARY | KINDERGARTEN | GRADE 5 |

This screen displays a list of facility lists present in the system for a given district, as defined by the droplist. From here the user can select a facility list to modify or remove from the database.

| Field Name | Required | Description | Special Validation |
|--------------|----------|--|--------------------|
| Organization | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "District". | |
| Survey | Yes | Drop-down list contains a list of all surveys in the selected Organization. This selection will change the grid of facility lists being displayed. | |

1.2 – Facility List Screen

Facility List Details ?

Survey: 3 . 1

Level: 9 - COMBINATION KG - 01

Target Number of Stations: 100

Total Stations: 97

Total Capacity: 87

Gross Sq. Feet: 23,231

Utilization: 1,000

Acres Required: 7

Facility List Items:

| Spaces | Design | Grades | Description | NSF / Space | Total NSF | Cap. / Space | Total Stns. | Total GSF |
|--------|--------|---------|-------------------------------|-------------|-----------|--------------|-------------|-----------|
| 15 | 1 | PK - 03 | PRIMARY CLASSROOM (K-3) | 196 | 2,940 | 4 | 60 | 3,939 |
| | 808 | | MATERIAL STORAGE | 100 | 1,500 | 0 | 0 | 2,010 |
| | 811 | | OUTSIDE STORAGE | 50 | 750 | 0 | 0 | 1,005 |
| | 813 | | STUDENT STORAGE | 40 | 600 | 0 | 0 | 804 |
| | 814 | | STUDENT RESTROOM (BOTH SEXES) | 60 | 900 | 0 | 0 | 1,206 |
| 1 | 10 | PK - 03 | PRIMARY SKILLS LAB (K-3) | 882 | 882 | 18 | 0 | 1,181 |
| | 808 | | MATERIAL STORAGE | 100 | 100 | 0 | 0 | 134 |
| | 813 | | STUDENT STORAGE | 40 | 40 | 0 | 0 | 53 |
| | 814 | | STUDENT RESTROOM (BOTH SEXES) | 60 | 60 | 0 | 0 | 80 |
| 0 | 13 | PK - 05 | ELEMENTARY P E STORAGE | 315 | 0 | 1 | 0 | 0 |
| 1 | 14 | PK - 05 | ELEMENTARY COVERED PLAY AREA | 324 | 324 | 9 | 0 | 434 |
| 1 | 40 | PK - 12 | RESOURCE ROOM | 290 | 290 | 10 | 0 | 388 |
| | 808 | | MATERIAL STORAGE | 100 | 100 | 0 | 0 | 134 |
| 1 | 50 | PK - 05 | ART - ELEMENTARY | 1,000 | 1,000 | 22 | 0 | 1,340 |

Save and Recalculate
Reset
Cancel
View Report

This screen will allow district users to enter number of total stations and instructional rooms of most types that are need modeled at that type of facility and system will do the calculations.

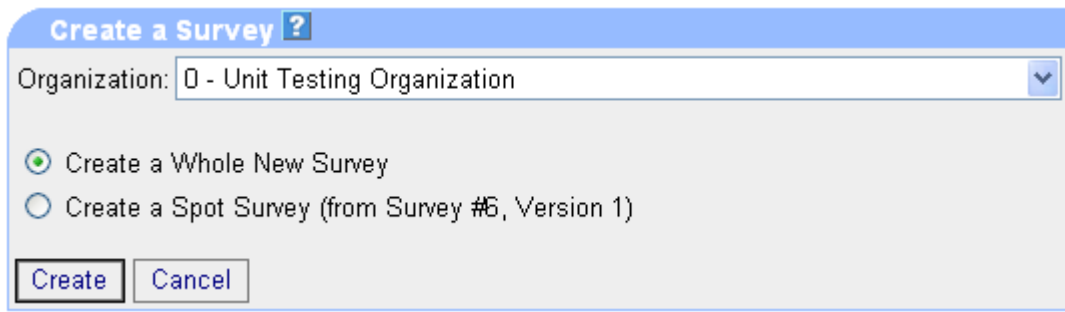
| Field Name | Required | Description | Special Validation |
|----------------------------------|------------|--|--------------------|
| Level | Yes | Drop-down list contains a list of school type and grade level | |
| Target Number of stations | Yes | The number of stations that a facility of this type should have | |

2 – General Survey Information

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

2.1- New Survey



Create a Survey ?

Organization: 0 - Unit Testing Organization

Create a Whole New Survey

Create a Spot Survey (from Survey #6, Version 1)

Create **Cancel**

This screen will allow users to create new survey.

| Field Name | Required | Description | Special Validation |
|------------|----------|--|--------------------|
| District | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "District". | |
| None | Yes | A Radio Button that determines which type of survey to create | |

2.2 – Survey Details

Survey Details ?

Survey 3, Version 1
 Status: Active Approved
 Survey Creation Time: 11/2/2007 8:51:04 AM

Submission Date: 1/15/2008 1:17:23 PM
 DOE Approval Date: 2/8/2008 1:58:08 PM

Description:

Survey Open Date: / /

Board Approval Date: / /

DVE768 Approval Date: / /

District Contact Information:

Name:

Phone: (###) ###-###

Email:

Comments:

Add comment:

This is the main details screen for a survey. From here the user can view and modify all data that relates to the survey but not to any specific facility. The buttons at the base of the form serve to navigate between sub-sections of the survey's data. The Survey Notes button navigates to a page where users can enter notes as well as run the Whole Survey Report.

| Field Name | Required | Description | Special Validation |
|-----------------------|----------|---|--------------------|
| Description | No | District user entered description of survey | |
| Survey Open Date | Yes | District user entered survey open date | |
| Board Approved Date | Yes | Date on which the school board approved | |
| DVE 768 Approved Date | Yes | Date on which the DVE 768 approved | |
| COFTE Type | No | A placeholder for a future addition | |
| Contact Name | Yes | Name of the contact person | |
| Contact Phone | Yes | Phone number of the contact person | |
| Contact Email | Yes | Email of the contact person | |
| Comments | No | Comments about the survey | |

2.2.1 Whole Survey Report

ALACHUA COUNTY SCHOOL DISTRICT **Survey - Survey Notes** **User:** EUS\Brian.Gouin [\[Edit Profile\]](#)
Survey Number: 3 Version: 1

User can enter notes associated with the survey. This page also has a button to run and display the Whole Survey report for the current selected district.

2.3 – Recommendations

Address: <http://doe-tapp01/EFISInternal/Survey/RecommendationDetails.aspx?SurveyID=72&qsh=q212mFgxPP%2bcT%2FRICXLBOs0%2bEYE%3d>

ALACHUA COUNTY SCHOOL DISTRICT **Survey - Facility Recommendations** **User:** EUS\Brian.Gouin [\[Edit Profile\]](#)

Facility Recommendations ?

Facility:

Address:

City:

Projected Student Membership

PK-3: 4-8: 9-12:

District Comment:

Survey Comment:

Recommendation Classifications:

Capital Outlay:

Facility Use:

Low Grade:

High Grade:

Site Improvements:

| Improvement | Amount | Description |
|----------------------|--------------------------------|--|
| Parking | <input type="text" value="0"/> | Cost to add additional parking spaces. |
| Student Loading Zone | <input type="text" value="0"/> | Cost to expand student loading zone. |
| Site Expansion | <input type="text" value="0"/> | Cost to expand school site. |
| Site Development | <input type="text" value="0"/> | Cost to develop site for use. |
| Correct Drainage | <input type="text" value="0"/> | Cost to correct drainage problems. |
| Other | <input type="text" value="0"/> | All other expenditures not defined by an above category. |
| New Sites | <input type="text" value="0"/> | The cost to purchase the land for a new site. |
| Covered Walkways | <input type="text" value="0"/> | Cost for additional covered walkways. |

This is the main screen for a single facility's recommendation. Here the user can view and modify the basic recommendation data for a facility (as chosen from the dropdownlist at the top).

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|--|--------------------|
| Facility | Yes | Drop-down list contains a list of all facility within the district | |
| Address | Yes | Address for the facility | |
| City | Yes | City for the facility | |
| Capital outlay | Yes | Codes from CapitalOutlayClassification table | |
| Facility use | Yes | Use type of facility | |
| Low Grade | Yes | Code from the GradeHoused table | |
| High Grade | Yes | Code from the GradeHoused table | |
| Student membership field | Yes | Number of students for membership | |

| | | | |
|-------------------------|-----------|--|--|
| Amount fields | No | Cost of the Site Improvement | |
| District Comment | No | Text of the comment to be added by DOE user to the database | |
| Survey Comment | No | User entered Survey Comment. | |

2.3.1 – Site Improvements

Site Improvements:

| Improvement | Amount | Description |
|-----------------------------|------------------------------------|--|
| Parking Lot | <input type="text" value="3.00"/> | Cost per unit to construct parking lots. |
| Pickups | <input type="text" value="5.00"/> | Cost per unit to create pickups. |
| Site Expansion | <input type="text" value="7.00"/> | Cost per unit for misc. site expansion projects. |
| Site Development | <input type="text" value="8.00"/> | Cost per unit for misc. site development projects. |
| Landscaping (Shrubbery) | <input type="text" value="9.00"/> | Shrubbery |
| Landscaping (Non-shrubbery) | <input type="text" value="7.00"/> | Non-Shrub |
| Covered Walkways | <input type="text" value="10.00"/> | Things that cover a walkway |

This screen allows users to enter the cost for site expansion, development and improvements that will be used for this recommendation. This form is built using the SiteImprovement table, meaning the rows listed above are generated dynamically and can change over time (“Parking Lot” might one day in the future be removed and replaced with “Hover-Car Dock”, for example).

| Field Name | Required | Description | Special Validation |
|------------|----------|---|--|
| Cost Field | Yes | For each category in the the SiteImprovement table, a row on this form will be created. | The user must supply a valid cost for each row |

New Facility Recommendations ?

Create a Blank Recommendation

Copy Recommendation Details from a Facility List

Facility Name:

Capital Outlay: ▼

Facility Use: ▼

Low Grade: ▼

High Grade: ▼

| Field Name | Required | Description | Special Validation |
|----------------|----------|--|--|
| Facility Name | Yes | Names the new Facility Recommendation | |
| Capital Outlay | Yes | Defines the capital outlay for the new facility recommendation | |
| Facility Use | Yes | Defines the facility use code fore the new facility recommendation | If "Copy RecommendationDetails from a Facility List" is selected, then the Facility Use must match against a Facility List |
| Low Grade | Yes | Code from the GradeHoused table | If "Copy RecommendationDetails from a Facility List" is selected, then Low Grade must match against an Existing Facility List |
| High Grade | Yes | Code from the GradeHoused table | If "Copy RecommendationDetails from a Facility List" is selected, then High Grade must match against an Existing Facility List |

2.4 – Recommendation Details

Survey Listing ?

Facility: Unit Test Facility

Recommendation Suggestions:

| Design | Description | Suggested Spaces | Current Spaces | Margin |
|--------|------------------------------|------------------|----------------|--------|
| 1 | PRIMARY CLASSROOM (K-3) | 0 | 1 | 1 |
| 10 | PRIMARY SKILLS LAB (K-3) | 1 | 0 | -1 |
| 13 | ELEMENTARY P E STORAGE | 0 | 0 | 0 |
| 14 | ELEMENTARY COVERED PLAY AREA | 1 | 0 | -1 |
| 40 | RESOURCE ROOM | 1 | 0 | -1 |
| 50 | ART - ELEMENTARY | 1 | 0 | -1 |
| 55 | MUSIC - ELEMENTARY | 1 | 0 | -1 |
| 61 | E S E PART-TIME | 1 | 0 | -1 |
| 62 | E S E FULL-TIME | 1 | 0 | -1 |
| 63 | E S E VOCATIONAL | 1 | 0 | -1 |
| 64 | E S E PT/OT LAB | 1 | 0 | -1 |
| 65 | E S E RESOURCE | 1 | 0 | -1 |

Current Recommendation Details:

| Priority Year | Bldg | Construction Type | Description | Total NSF | Station Count +/- | Total Cost | Cost per NSF | Cost per Station | Appears on PPL |
|--|------|-------------------|--|-----------|-------------------|------------|--------------|------------------|--------------------------|
| del edit 1999 - 2000 | | New Construction | New Construction: Adding 1 unit of PRIMARY CLASSROOM (K-3) (882 NSF) | 882 | 18 | \$447,174 | \$507 | \$24,843 | <input type="checkbox"/> |

2.5 – Adding/Editing Recommendation Details

2.5.1 – New Construction

Recommendation Detail ?

Construction Type: ▾

Building Number: ▾

Priority Year: ▾

Design to Be Added

| | Number of Spaces | Design Code | NSF (each) | Station Count |
|--------------------------|------------------|-------------|------------|---------------|
| <input type="checkbox"/> | 1 | 1 | 882 | 18 |

Add: Number: Design: ▾ NSF:

2.5.2 – Remodeling

Recommendation Detail ?

Construction Type:

Building Number:

Priority Year:

Design to Be Added

| | Number of Spaces | Design Code | NSF (each) | Station Count |
|--------------------------|------------------|-------------|------------|---------------|
| <input type="checkbox"/> | 1 | 1 | 882 | 18 |

Add: Number: Design: NSF:

Rooms to Be Removed/Retasked

| | Room Number | Design Code | NSF (each) | Station Count |
|--------------------------|-------------|-------------|------------|---------------|
| <input type="checkbox"/> | 100 | 1 | 600 | 18 |

2.5.3 – Renovation

Recommendation Detail ?

Construction Type:

Renovation Type: Painting HVAC

Building Number:

Priority Year:

Any value placed in this box will override the normal calculations for a renovation and use this value instead as the total cost.

Clear this box to allow for normal calculations for a renovation.

Rooms to Be Renovated

Select one or more rooms by clicking the checkbox to the left.

| | Room Number | Design Code | NSF (each) | Station Count |
|--------------------------|-------------|-------------|------------|---------------|
| <input type="checkbox"/> | 100 | 1 | 600 | 18 |

These screens handle the addition and modification of recommendation detail records.

| Field Name | Required | Description | Special Validation |
|-------------------|-------------------|---|--------------------|
| Construction Type | Yes | Drop-down list contains a list of Construction type | |
| Building Number | Yes if applicable | Number of the building | |
| Priority Year | Yes | Year of the priority | |
| Renovation Type | Yes if applicable | Type of renovation to be applied | |
| Number | Yes | The number of Spaces to build | |
| Design | Yes | The design of the construction | |
| None | NO | Any amount placed in the override box will be used instead of the calculations for the given renovation | |
| NSF | Yes | The amount of Net Square Feet one space of this design type will take | |

2.6 – Student Membership

Student Membership (Table II) ?

Filter: None

| Facility | Pre-K (ESE) Projected | 1-3 Projected | 4-8 Projected | 9-12 Projected | Pre-K (ESE) IN | 1-3 IN | 4-8 IN | 9-12 IN | Pre-K (ESE) OUT | 1-3 OUT | 4-8 OUT | 9-12 OUT | Pre-K (ESE) Recom. | 1-3 Recom. | 4-8 Recom. | 9-12 Recom. | Total COFTE | Existing Stations | Pos. Remod. Stations | Neg. Remod. Stations |
|---------------------------|-----------------------------------|----------------------------------|----------------------------------|----------------------------------|-----------------------------------|-----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|----------------------------------|-----------------------------------|-----------------------------------|----------------------------------|----------------------------------|-----------------------------------|----------------------------------|---------------------------------|----------------------------------|
| Ancillary MSIDs | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="18"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |
| Stonich Elementary School | <input type="text" value="4567"/> | <input type="text" value="567"/> | <input type="text" value="567"/> | <input type="text" value="238"/> | <input type="text" value="1234"/> | <input type="text" value="1234"/> | <input type="text" value="345"/> | <input type="text" value="345"/> | <input type="text" value="345"/> | <input type="text" value="345"/> | <input type="text" value="345"/> | <input type="text" value="345"/> | <input type="text" value="5456"/> | <input type="text" value="1456"/> | <input type="text" value="567"/> | <input type="text" value="238"/> | <input type="text" value="7717"/> | <input type="text" value="18"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |
| Stonich High School | <input type="text" value="5"/> | <input type="text" value="12"/> | <input type="text" value="3"/> | <input type="text" value="8"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="5"/> | <input type="text" value="12"/> | <input type="text" value="3"/> | <input type="text" value="8"/> | <input type="text" value="28"/> | <input type="text" value="43"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |
| Stonich Middle School | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="22"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |
| Unit Test Facility | <input type="text" value="5"/> | <input type="text" value="5"/> | <input type="text" value="5"/> | <input type="text" value="5"/> | <input type="text" value="8"/> | <input type="text" value="7"/> | <input type="text" value="6"/> | <input type="text" value="5"/> | <input type="text" value="4"/> | <input type="text" value="3"/> | <input type="text" value="2"/> | <input type="text" value="1"/> | <input type="text" value="9"/> | <input type="text" value="9"/> | <input type="text" value="9"/> | <input type="text" value="9"/> | <input type="text" value="36"/> | <input type="text" value="18"/> | <input type="text" value="54"/> | <input type="text" value="-18"/> |
| | <input type="text" value="4577"/> | <input type="text" value="584"/> | <input type="text" value="575"/> | <input type="text" value="251"/> | <input type="text" value="1242"/> | <input type="text" value="1241"/> | <input type="text" value="351"/> | <input type="text" value="350"/> | <input type="text" value="349"/> | <input type="text" value="348"/> | <input type="text" value="347"/> | <input type="text" value="346"/> | <input type="text" value="5470"/> | <input type="text" value="1477"/> | <input type="text" value="579"/> | <input type="text" value="255"/> | <input type="text" value="7781"/> | <input type="text" value="119"/> | <input type="text" value="54"/> | <input type="text" value="-18"/> |
| | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="10"/> | <input type="text" value="0"/> | | | | | | | | | | | | | | | | |

New Facility Recommendations:

| Facility | Pre-K (ESE) IN | 1-3 IN | 4-8 IN | 9-12 IN | Total COFTE | New Const. Stations | Util. Factor | Recom. Capacity | Year-Round Capacity |
|---------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|
| testing blank | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0.70"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |
| testing copy | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="2037"/> | <input type="text" value="0.95"/> | <input type="text" value="1935"/> | <input type="text" value="2322"/> |
| | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="2037"/> | <input type="text" value="1935"/> | <input type="text" value="2322"/> | |

A screen that allows for Student Membership changes for each facility in the organization at once. The values changed here will be reflected on the Recommendation screen for that facility.

| Field Name | Required | Description | Special Validation |
|-----------------------|----------|--|--------------------|
| Pre K (ESE) Projected | No | The number of students to attend grades Pre-K (ESE) from COFTE projections 5 years out | |
| 1-3 Projected | No | The number of students to attend grades 1- 3 from COFTE projections 5 years out | |
| 4-8 Projected | No | The number of students to attend grades 4-8 from COFTE projections 5 years out | |
| 9-12 Projected | No | The number of students to attend grades 9-12 from COFTE projections 5 years out | |
| Pre-K (ESE) IN | No | The number of students to be transferred into the facility for grade Pre-K | |

| | | | |
|--------------------------------|-----------|---|--|
| 1-3 IN | No | The number of students to be transferred into the facility for grades 1- 3 | |
| 4-8 IN | No | The number of students to be transferred into the facility for grades 4-8 | |
| 9-12 IN | No | The number of students to be transferred into the facility for grades 9-12 | |
| Pre-K (ESE) OUT | No | The number of students to be removed from this facility for grade Pre-K | |
| 1-3 OUT | No | The number of students to be removed from this facility for grades 1-3 | |
| 4-8 OUT | No | The number of students to be removed from this facility for grades 4-8 | |
| 9-12 OUT | No | The number of students to be removed from this facility for grades 9-12 | |
| Pre-K (ESE) Recommended | No | The number of students to attend grades Pre-K (ESE) | |
| 1-3 Recommended | No | The number of students to attend grades 1-3 | |
| 4-8 Recommended | No | The number of students to attend grades 4-8 | |
| 9-12 Recommended | No | The number of students to attend grades 9-12 | |

2.7 – Check and Submit

Check Survey Details ?

Survey Check Notes:

Rule Violations:

*** This survey does not have a board approval date. Board approval is required before it is submitted for DOE approval.

*** This survey does not have a DVE768 approval date. DVE768 approval is required before the survey is submitted. If this is a spot survey, the DVE768 approval date from the original may be used.

*** District contact information is incomplete. In order for a survey to be submitted, it must include a name, phone number, and email address for the corresponding district contact.

*** The Survey Open Date cannot be less than a previously approved Survey's Open Date.

*** The following facilities are not in line with the design code totals present in their corresponding facility lists:
Unit Test Facility, Stonich Middle School, Stonich Elementary School, Ancillary MSIDs

I acknowledge that this survey has rule violations. Submit it anyway

Return to Details

Submit Survey for DOE Approval

This screen allows district users to view any business rule violations and best practice warnings that would be generated by their survey if they attempted to submit it in its current state. If there are rule Violations, the user can check the checkbox and attempt to submit the survey anyway. A survey submitted with the checkbox checked will save the current Check Survey Notes as a comment and the survey will be saved with a status of SubmittedWithRuleViolations.

| Field Name | Required | Description | Special Validation |
|---------------|-------------------|---|--------------------|
| Submit Anyway | Yes if Applicable | The checkbox indicating the survey does not conform with all rules and that the user wishes it to be submitted anyway | |

2.8 – Survey List

Survey Listing ?

Organization: 0 - Unit Testing Organization

| | Number | Version | Open Date | Current Status |
|------------------------|--------|---------|-----------|----------------|
| Select | 6 | 1 | | Active Pending |
| Select | 5 | 2 | 1/2/2007 | Closed |
| Select | 5 | 1 | 1/1/2007 | Closed |
| Select | 4 | 1 | 1/1/2009 | Closed |
| Select | 3 | 2 | 1/1/2008 | Closed |
| Select | 3 | 1 | 1/1/2008 | Closed |
| Select | 2 | 1 | 1/1/2001 | Closed |
| Select | 1 | 2 | 1/1/2007 | Closed |
| Select | 1 | 1 | 7/1/2006 | Closed |

This screen will allow users to choose which survey to view or edit. District users will only be able to manipulate their own district's surveys, and only those with a status of 'Active Pending' or 'Active Rejected' may be edited.

| Field Name | Required | Description | Special Validation |
|--------------|----------|--|--------------------|
| Organization | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "District". | |

2.9 – Surveys Awaiting Approval

Survey Listing ?

| | Number | Version | Open Date | Current Status |
|------------------------|--------|---------|-----------|--|
| Select | 6 | 1 | 1/1/2008 | Active Submitted with Rules Violations |

Displays a list of surveys that have been submitted for approval.

3 – Project Priority List

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

3.1 – Add a Project Priority List

3.1.1 - Select a Survey

| Number | Version | Survey Open Date |
|--------|---------|----------------------|
| 3 | 1 | 1/1/2007 12:00:00 AM |

Select a Survey to associate a Project Priority List with. Surveys will only show if they have Recommendation Details on them and they have been Approved.

| Field Name | Required | Description | Special Validation |
|--------------|----------|--|--------------------|
| Organization | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "Organization". | |

3.1.2 – Select Recommendation Details

| Priority Year | Bldg | Construction Type | Description | Total NSF | Station Count +/- | Total Cost | Cost per NSF | Cost per Station |
|-------------------------------|------|-------------------|--|-----------|-------------------|------------|--------------|------------------|
| <input type="checkbox"/> 2000 | | New Construction | New Construction: Adding 1 unit of PRIMARY CLASSROOM (K-3) (882 NSF) | 882 | 18 | \$447,174 | \$507 | \$24,843 |

Select from the grid by selecting the checkboxes of those Recommendation Details that should appear on this Project Priority List

| Field Name | Required | Description | Special Validation |
|------------|----------------------|---|--------------------|
| Checkbox | At least one checked | Checkbox indicating if the Recommendation Detail will be appear on this Project Priority List | |

3.2 – Project Priority Lists

Priority Lists ?

District: 0 - Unit Testing Organization

| Survey Number | Survey Version | Open Date | Status |
|--------------------------|----------------|-----------|-------------|
| Select 6 | 1 | 8/31/2007 | Submitted |
| Select 5 | 2 | 8/31/2007 | Approved |
| Select 5 | 1 | 8/31/2007 | In Progress |

This screen displays project priority lists currently in the system for the district selected in the droplist at the top of the form. The select link takes users to the detail page for the desired priority list.

| Field Name | Required | Description | Special Validation |
|------------|----------|--|--------------------|
| District | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "District". | |

3.3 – Project Priority List Details

Unit Testing Organization Project Priority List

Created by [Survey 1, Version 2](#) (10/16/2007)
PPL Status: **In Progress**

Board Approval Date: 1 / 1 / 2007

Project Priority List Number:

| Rank Order | Priority Rank | Facility | Capital Outlay | Grades | Description | Total Cost |
|---------------------------------|---------------|--------------------|----------------|--------|---|------------|
| <input type="text" value="10"/> | A | Unit Test Facility | C-1 | KG-01 | Remodeling: Adding 1 unit of PRIMARY SKILLS LAB (K-3) (882 NSF) and Removing Room 100 (600 NSF) | \$7,938 |

This is the details screen for project priority lists. It allows users to see all projects included in the list and assign them ranking values and PPL numbers.

| Field Name | Required | Description | Special Validation |
|---------------------|----------|---|--------------------|
| Priority Rank | Yes | Label for the code from PriorityRank table | |
| Board Approval Date | ? | The Date that this Project Priority List is approved by the Board | |

3.4 – Submitted Project Priority Lists

Submitted Priority Lists ?

District: 0 - Unit Testing Organization

| Survey Number | Survey Version | Open Date | Status |
|--------------------------|----------------|-----------|-----------|
| Select 6 | 1 | 8/31/2007 | Submitted |

Displays all Project Priority Lists that are awaiting Approval.

| Field Name | Required | Description | Special Validation |
|------------|----------|--|--------------------|
| District | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "District". | |

3.5 – Approval of Project Priority Lists

Unit Testing Organization Project Priority List

Created by [Survey 1, Version 1](#) (10/10/2007)

Board Approval Date: / /

Project Priority List Number:

| Rank Order | Priority Rank | Facility | Capital Outlay | Grades | Description | Total Cost |
|------------|---------------|-------------------------------|----------------|--------|---|--------------|
| 10 | A | Unit Test Facility | C-1 | KG-01 | Remodeling: Adding 1 unit of PRIMARY SKILLS LAB (K-3) (882 NSF) and Removing Room 100 (600 NSF) | \$7,938 |
| 11 | A | Copy Facility List Highschool | C-1 | 09-12 | New Construction: Adding 25 units of SENIOR HIGH CLASSROOM (9-12) (800 NSF) | \$17,135,000 |
| 12 | A | Copy Facility List Highschool | C-1 | 09-12 | New Construction: Adding 3 units of RESOURCE ROOM (290 NSF) | \$14,790 |

Displays the details of the currently selected Project Priority List and allows for Acceptance or Rejection of the Project Priority List.

| Field Name | Required | Description | Special Validation |
|------------------------------|----------|---|--------------------|
| Project Priority List Number | Yes | An integer that is auto populated with the next PPL Number. This value can be overridden by the user. | |

Revision History

| Date | Person Responsible | Description |
|------------------|---------------------------|--|
| March 21, 2007 | Lucy Wang | Original Version |
| May 29, 2007 | Brendan Moeller | Updated screenshots, description text, screen fields |
| August 31, 2007 | Stephen English | Updated screenshots, description text, screen fields |
| October 16, 2007 | Stephen English | Updated Screenshots, Description Text, Screen Fields |

Functional Design Specification

Project Tracking

Version: *1.0*

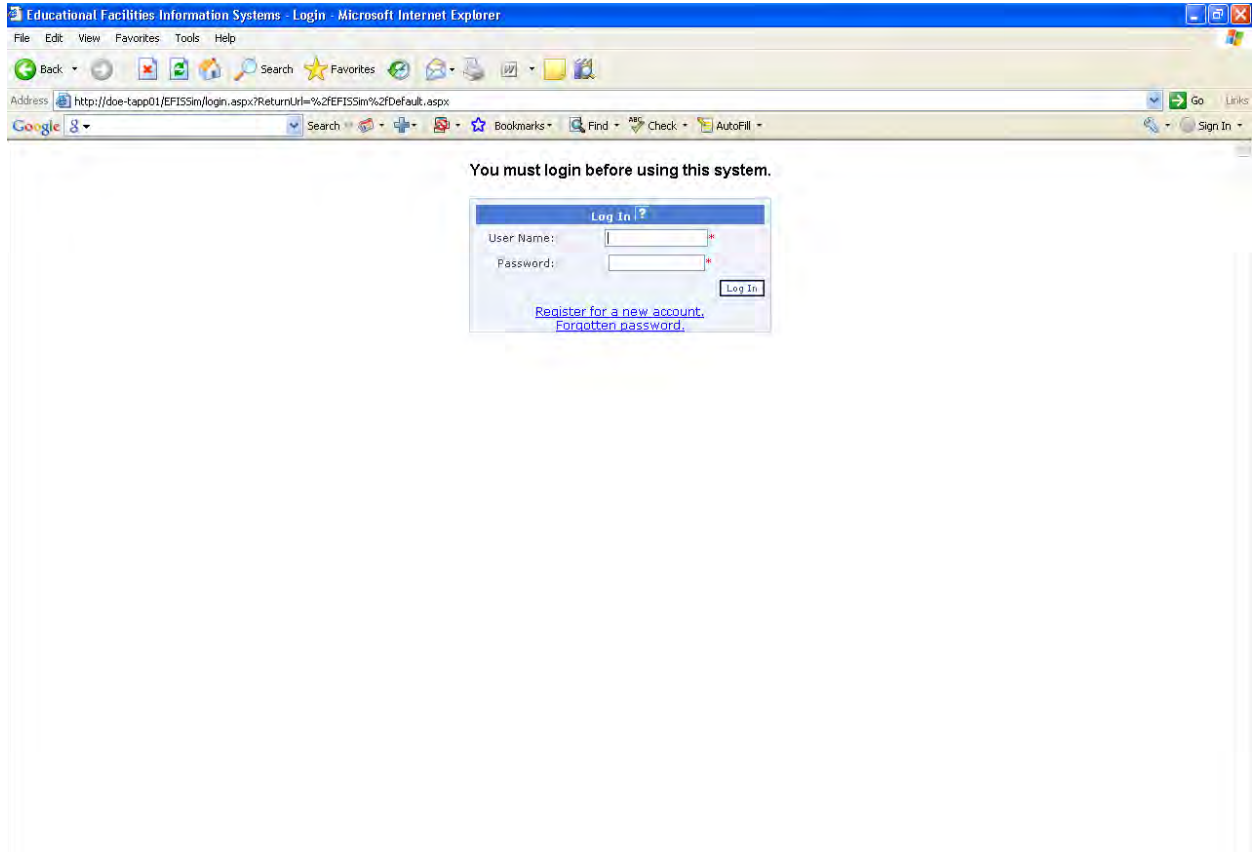
TABLE OF CONTENTS

| | |
|--|-----------|
| USER SCREENS | 1 |
| 1.1 - EFIS login | 1 |
| 1.2 – Initial EFIS Screen..... | 2 |
| 1.3 – View Projects Screen | 3 |
| 1.4 – Project Details Screen | 4 |
| 1.5 – Add a document to project..... | 5 |
| 1.6 – Assign Reviewer(s) to a document..... | 6 |
| 1.7 – Assign Location to a document | 7 |
| 1.8 – Review a Document..... | 8 |
| 1.9 – Create New Project (Form 208 Letter of Transmittal) | 9 |
| 2.0 – Form 110A Project Implementation Information..... | 11 |
| 2.1 – Form 110B Certification of Occupancy..... | 12 |
| 2.2 – Form 208A Facility Space Chart/Net And Gross Square Footage..... | 13 |
| 2.3 – Form 209 Certificate of Final Inspection | 15 |
| 2.4 – Form 220 Building Permit Application | 16 |
| 2.5 – Form LCCA Life Cycle Cost Analysis..... | 18 |
| PROJECT AND DOCUMENT STATUSES | 20 |
| 3.1 – Project Status Lifecycle..... | 20 |
| 3.2 – Document Status Lifecycle..... | 20 |

User Screens

| | | |
|--|--|--|
| | | |
| | | |
| | | |

1.1 - EFIS login



This is the screen you will first see once you point your browser to the EFIS suite of applications. You will be assigned a login before this and given access to the "Project Tracking" application part of the EFIS system.

1.2 – Initial EFIS Screen

The screenshot displays the EFIS Directory interface. On the left is a navigation menu with categories like Facility, Parcel, Building, Room, Reports, and System Messages. The main content area shows the user's name, EUSvniike.mcelroy, and a list of system messages for various applications, all of which are currently empty.

EFIS Home
FISH

- FISH User Manual
- Facility
 - Search Facilities
 - Add Facility
- Parcel
 - Search Parcels
 - Add Parcel
- Building
 - Search Buildings
 - Add Building
- Room
 - Search Rooms
 - Add Room
- Reports
 - Update Reports
 - Facility Update Report
 - Parcel Update Report
 - Building Update Report
 - Room Update Report
 - Commonly Used Reports
 - Agency Facilities Summary
 - Agency Use Summary
 - Facilities Inv. (FISH)
 - School Land Inventory
 - Level Of Service
 - Student Station Summary
 - Management Reports
 - Design Specifications
 - Age Report
 - Space Report
 - Routine Data Request
 - District Flat File
 - Snapshot Flat File
 - Superuser Access
- System Messages
- Modify Reference Tables
- Approve Pending Users
- Registered Users Report
- Manage Users
- Manage District Contacts
- Manage Help Text

Five Year Survey
Five Year Work Plan
SCOA
Community Colleges
Project Tracking

EFIS Directory

User: EUSvniike.mcelroy [\[Edit Profile\]](#)

This screen provides summary information and status information on EFIS and its subsystems.

EFIS System Messages
There are no system messages at this time.

FISH System Messages
There are no system messages at this time.

Five Year Survey System Messages
There are no system messages at this time.

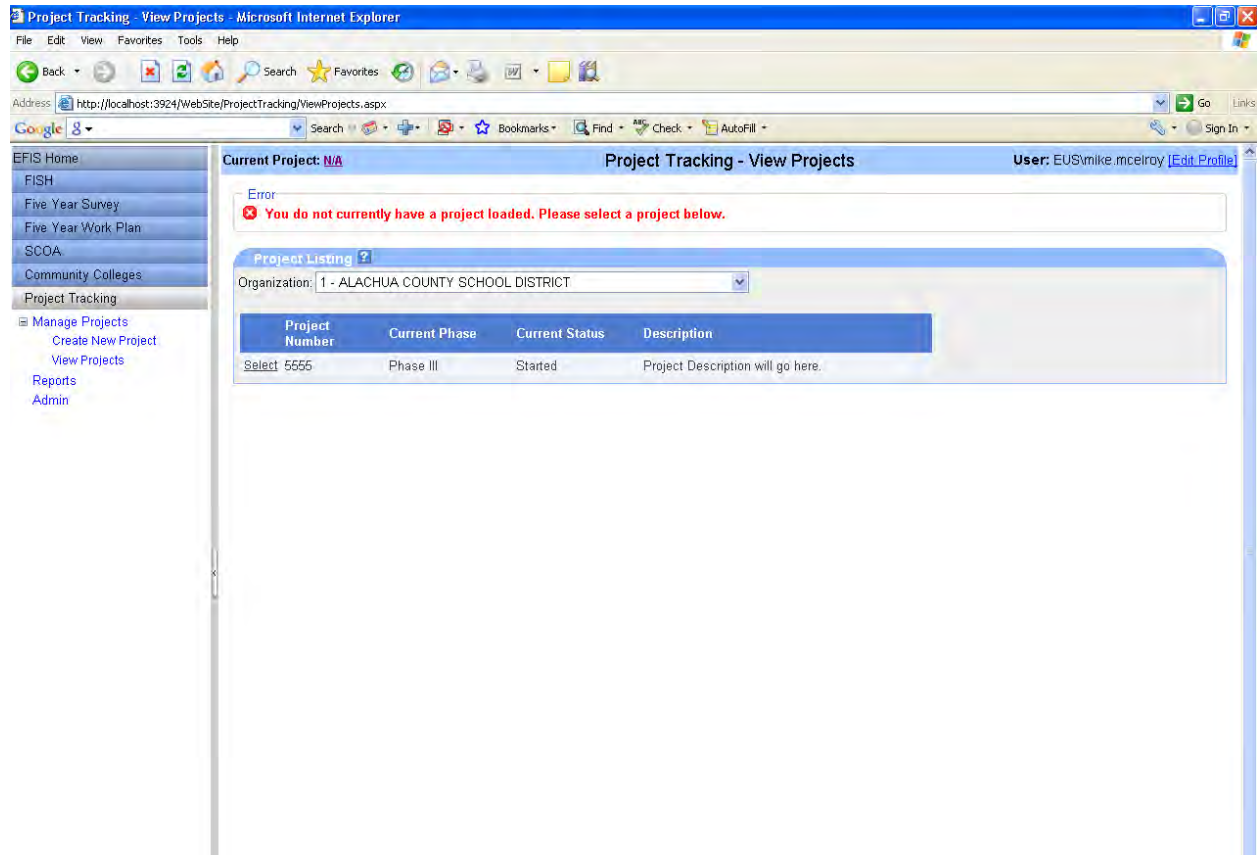
Five Year Work Plan System Messages
There are no system messages at this time.

SCOA System Messages
There are no system messages at this time.

Local intranet

Once the user logs in they will be presented with an EFIS directory screen that shows any informational messages that pertain to the systems the user has access to. For example, the user in the screen above has access to all applications in the EFIS system so all application messages are shown and menu options for all application are shown on the left side main menu. “Project Tracking” Administrator, Reviewer, District, and Community College users will only see Project Tracking messages and the Project Tracking menu option in the left side main menu.

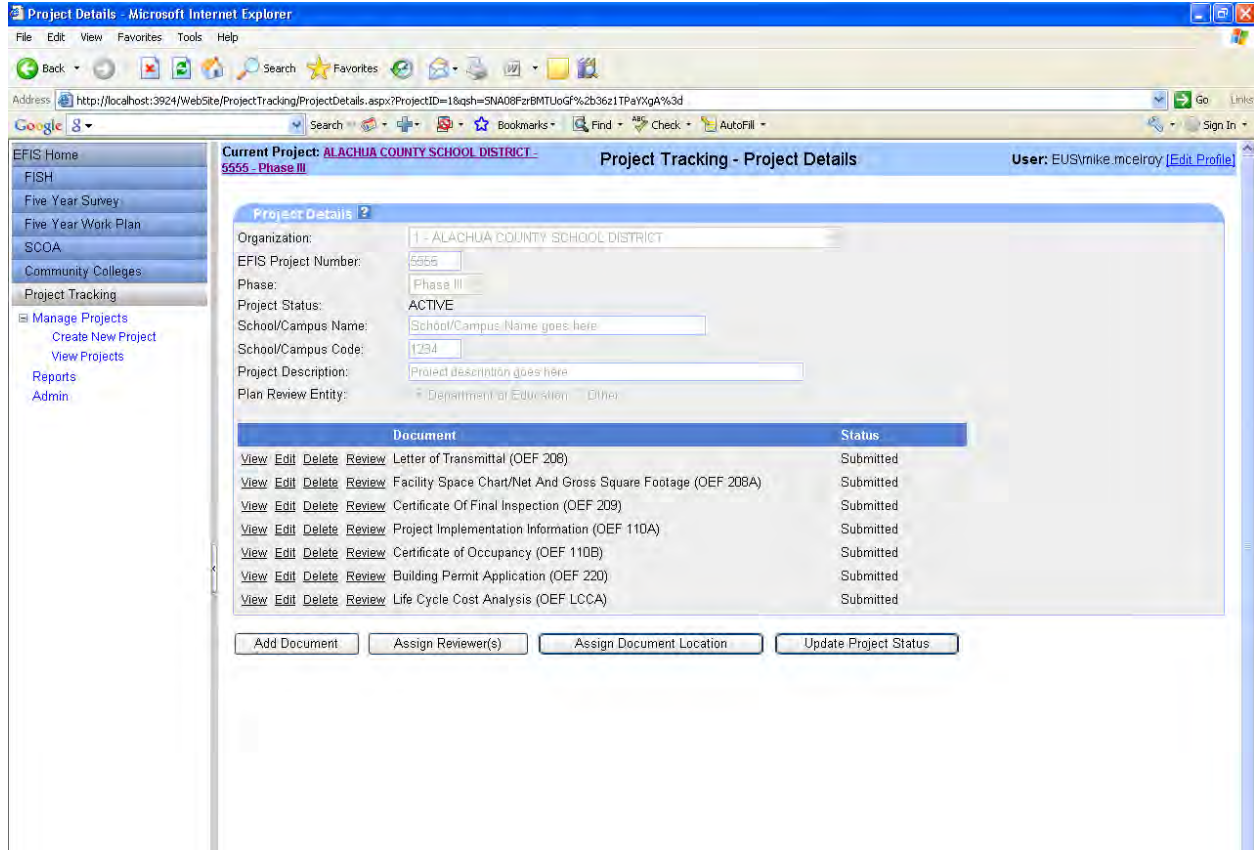
1.3 – View Projects Screen



Once the user selects “Project Tracking” from the left side main menu the screen above will be displayed. It prompts the user to select a current project. The Organization drop down list will only show Districts or Community Colleges that the current user is associated with. For example, a regular school district user will only see their district in the drop down and will be unable to change it on this screen. The listings below the drop down list will show all previously started projects associated with the Organization above. The user then selects the project they want to work in or can select another option from the left side main menu.

| | | | |
|--|--|--|--|
| | | | |
| | | | |

1.4 – Project Details Screen



This screen is displayed once a project is selected from screen 1.3. This screen will allow users to view details about a project and to modify the documents associated to a project. The View, Edit, Delete, and Review hyperlinks next to each document are only shown here as an example. These selections will be filtered and only shown to certain user types. For example, if the user were a “District” user then they would only see the “View” and “Edit” hyperlinks in the document list and the “Add Document” button at the bottom. If the user were an “Administrator” or “Administrator Assistant” then they would be able to see all document hyperlinks and all buttons. If the user was a “Reviewer” then they would only see the “View” and “Review” hyperlinks for the documents that were assigned to them to review.

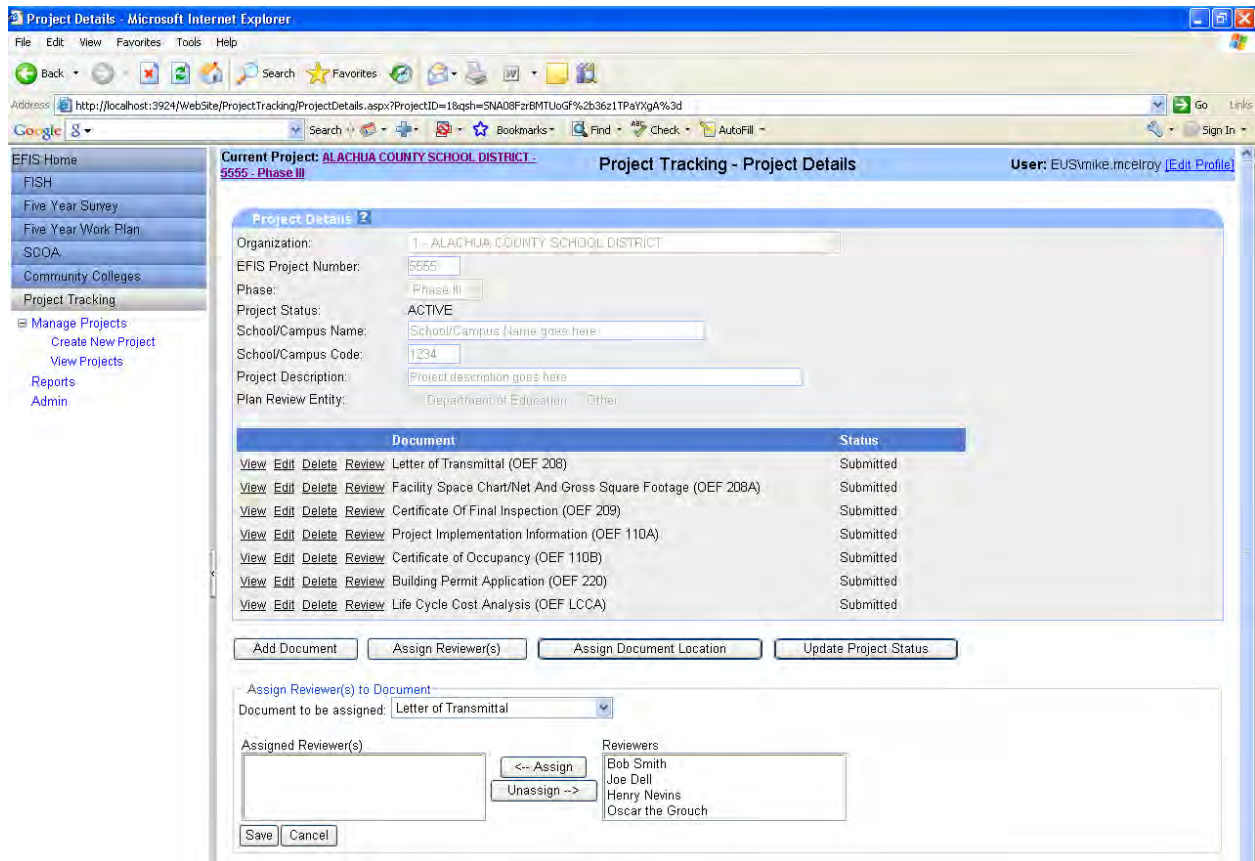
| | | | |
|--|--|--|--|
| | | | |
| | | | |
| | | | |

1.5 – Add a document to project

This screen will display once you click the “Add Document” button from screen 1.4. This will enable the user to add a document to the project that has not already been added. The “Online document to add:” list will show documents that are available online for the user to fill out (ex. 110A, 110B, etc.). The “Other document to add:” text box will give the user the ability to enter in the name of any other document that does not match up with a document in the drop down list. Once the user clicks “Add” the new document will be assigned to the project and will then show up in the main document list.

| Field Name | Required | Description | Special Validation |
|------------------------|----------|---|--------------------|
| Online document to add | No | This drop down list will show all documents that are able to be filled out online but have not yet been added to the project. | |
| Other document to add | No | This will be the name of the non-online document to add to the project. | |

1.6 – Assign Reviewer(s) to a document



This screen will display once you click the “Assign Reviewer(s)” button from screen 1.4. This will enable the “Administrator” or “Administrator Assistant” user to assign a reviewer or reviewers to a document. The “Document to be assigned:” drop down list will show documents that are available in the project. The user can then select one or more Reviewers from the Reviewers list and click the “Assign” button to assign them to review the document. All currently assigned Reviewers will show up in the “Assigned Reviewer(s)” list box. The user can also select currently assigned reviewers and “Unassign” them from the document.

Once changes to the reviewers have been made the “Save” button must be clicked to save the changes to the database. An email notification will be sent to all reviewers involved in any changes made (assigning or unassigning).

| | | | |
|--|--|--|--|
| | | | |
| | | | |
| | | | |

1.7 – Assign Location to a document

Community Colleges
Project Tracking
Manage Projects
Create New Project
View Projects
Reports
Admin

Enter Project Number: [text]
Phase: [Phase III]
Project Status: ACTIVE
School/Campus Name: [School/Campus Name goes here]
School/Campus Code: 1234
Project Description: [Project description goes here]
Plan Review Entity: Department of Education Other

| Document | Status |
|--|-----------|
| View Edit Delete Review Letter of Transmittal (OEF 208) | Submitted |
| View Edit Delete Review Facility Space Chart/Net And Gross Square Footage (OEF 208A) | Submitted |
| View Edit Delete Review Certificate Of Final Inspection (OEF 209) | Submitted |
| View Edit Delete Review Project Implementation Information (OEF 110A) | Submitted |
| View Edit Delete Review Certificate of Occupancy (OEF 110B) | Submitted |
| View Edit Delete Review Building Permit Application (OEF 220) | Submitted |
| View Edit Delete Review Life Cycle Cost Analysis (OEF LCCA) | Submitted |

Assign location to a document

Document to be assigned: Addendum
Location Type: Box
Number of Copies: [text] Volume Number: [text]
Bin Row: [text] Bin Column: [text]
Lek Row: [text] Lek ID: [text]
Shelf Row: [text] Cabinet Number: [text]
Reel Begin Number: [text] Reel End Number: [text]
Reel Box Number: [text] Archival Date: [text] / [text] / [text]

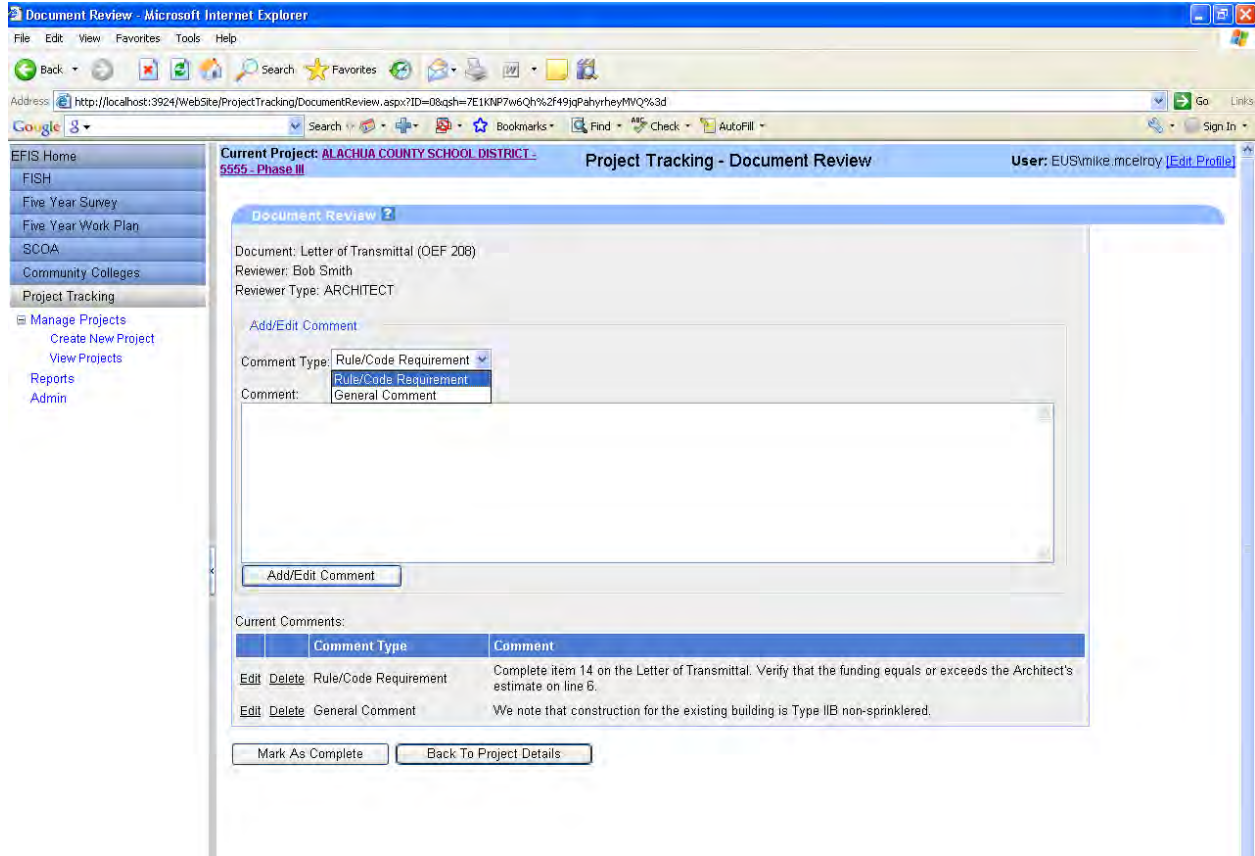
Comments: [text area]

This screen will display once you click the “Assign Document Location” button from screen 1.4. This will enable the “Administrator” or “Administrator Assistant” user to assign a location to a document. The “Document to be assigned:” drop down list will show documents that are available in the project. The user can then select the location type from the “Location Type” drop down list. The user is then able to enter any other pertaining information about the document location including the archival date (if applicable).

Once changes to the location has been made the “Save” button must be clicked to save the changes to the database.

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1.8 – Review a Document



This screen will display once you click the “Review” link for a document from screen 1.4. This will enable a document Reviewer to review the selected document. The Reviewer will be able to enter new comments about a document that will appear in the Documents Review letter. The Reviewer can also edit, delete, and view any previously entered comments that were entered by that Reviewer.

Once the reviewer is done entering comments they will need to click the “Mark As Complete” button. This will mark the review as Complete and send a notification to the Administrator/Administrator Assistant.

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1.9 – Create New Project (Form 208 Letter of Transmittal)

EFIS Home

- FISH
- Five Year Survey
- Five Year Work Plan
- SCOA
- Community Colleges
- Project Tracking
- Manage Projects
 - Create New Project
 - View Projects
- Reports
- Admin

Current Project: ALACHUA COUNTY SCHOOL DISTRICT - 5555 - Phase III

Project Tracking - Create New Project

User: EUSwike.mcelroy [\[Edit Profile\]](#)

Manage Persons

DEPARTMENT OF EDUCATION
Office of Educational Facilities
LETTER OF TRANSMITTAL

Organization:

Phase:

School/Campus Name:

School/Campus Code:

Project Description:

Plan Review Entity: Department of Education Other

New Plant Remodeling Addition Renovation Other

The submittal includes documents for construction that (exceeds is less than) \$200,000 in construction cost, for the above-referenced facility. The information required by Chapter 1013, F.S.; SBE Rule 6A-2.0010, FAC; and SREF for the review of this project is provided as follows:

1. Submittal includes:

- Construction Documents SREF 4.3(3)(a), (b) & C
- Addendum SREF 4.3(3)(c)11
- Facilities Space Chart (OEF208A)
- Project implementation Form (OEF 110A)

2. Reuse of construction documents SREF 4.3(2).

Select reuse project (if applicable):

OEF original project approval date: 01/01/2008

3. Scheduled bid date when known: / /

4. Type of facility and brief description of project:

5. Grade Levels - Size/grouping planned student stations of this project.

Min. Grade Level: Max Grade Level:

of Student Stations:

6. Architect's Engineer's Construction Manager's estimate of:

Total Construction Project Costs: \$

Gross Sq. Ft.: Cost per Sq. Ft.: \$

Cost per Student Station: \$

7. Site for new plant approved by Board

Yes, date: / /

No

Site (New Existing) Contains Acres

8. Board has approved educational or ancillary facility specs. for this project:

Yes, date: / /

No

9. Project is survey-recommended: Yes No Date of survey: / /

10. Architect/Engineer - Name:

Address:

Date of Contract: Telephone: () FAX: ()

E-Mail:

11. S. 1013.37(1)(e), F.S., Life Cycle Cost (Form OEF LCCA-1, 2, & 3) and Energy Efficiency Analysis Data sheets submitted:

Life Cycle Cost Analysis Yes No N/A If "No," explain

Energy Efficiency Analysis Yes No N/A If "No," explain

12. This project includes a threshold building?

Yes No

13. This project includes a Enhanced Hurricane Protection Area (EHPA) Yes No N/A

If "No," explain

| Source of Funds | Amount of Funds |
|--|-----------------|
| PECO/Sum of Digits - S. 1013.64(1), F.S. | \$0.00 |
| PECO/Special Facilities Construction Account - S. 1013.64(2), F.S. | \$0.00 |

15. S. 1013.44(1)(a), F.S., List passive design elements and low energy usage features included in the design.

16. S. 255.2575(2), F.S., High Performance Green Building rating system:

Standard Used: Rating Achieved:

17. Written agreements are on file with the following appropriate agencies:

- Fire/Police
- Traffic Control Safety
- Primary Roads/Emergency Access
- Utilities/Connection Fees
- Local Comprehensive Plan Approval
- Emergency Management

18. (PL 89-665, Federal Funds) Historical Significance. Project involves building over 50 years old.
 Yes No If "Yes," year building was constructed:

19. Please provide an e-mail address for all individuals desiring an electronic copy of the review letter.

Do you Desire draft of review mandatory and comments as reviews are completed? Yes No

20. Use this space for additional information:

Signature: Date Signed: / /

Local intranet

This screen will display once you click the "Create New Project" link on the left hand side menu under "Manage Projects" on screen 1.4. The user then fills out the Letter of Transmittal (which is required to be completed for any new project). There is a "Manage Person" control at the top of the form which lets users manage Person entities (ex. Engineers, Presidents, etc.) used through out this form and the other online forms.

Once the user is done completing this form they will need to click the "Submit" button. This will mark the document as "Submitted and send a notification to the Administrator/Administrator Assistant that a new project has been started.

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2.0 – Form 110A Project Implementation Information

Project Tracking - Form 110A - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address http://localhost:3924/Website/ProjectTracking/Form110A.aspx

Current Project: ALACHUA COUNTY SCHOOL DISTRICT - 5555 - Phase III Project Tracking - Form 110A User: EUSvsmike.mcelroy [Edit Profile]

Manage Persons

DEPARTMENT OF EDUCATION
Office of Educational Facilities
Project Implementation Information

1. Brief Description of proposed work:

2. Budget: \$0.00 3. Student Stations (Additional): 0 4. Square Feet: 0

As Applicable:

5. Architect Name: - Select Person - License #: Expiration Date: / /

Firm Name: License #: Expiration Date: / /

6a. Engineer Firm Name: - Select Firm - License #: Expiration Date: / /

6b. Engineer Firm Name: - Select Firm - License #: Expiration Date: / /

6c. Engineer Firm Name: - Select Firm - License #: Expiration Date: / /

| Mechanical Engineer | Electrical Engineer | Civil Engineer | Structural Engineer |
|-------------------------|-------------------------|-------------------------|-------------------------|
| Name: - Select Person - | Name: - Select Person - | Name: - Select Person - | Name: - Select Person - |
| License # | License # | License # | License # |
| Expiration Date: / / | Expiration Date: / / | Expiration Date: / / | Expiration Date: / / |

As Applicable

7. Construction Management: 8. Program Management:

9. Design/Build Firm: 10. Other (specify):

11. Plan Review

| Mechanical Engineer | Electrical Engineer | Civil Engineer | Structural Engineer |
|-------------------------|-------------------------|-------------------------|-------------------------|
| Name: - Select Person - | Name: - Select Person - | Name: - Select Person - | Name: - Select Person - |
| License # | License # | License # | License # |
| Expiration Date: / / | Expiration Date: / / | Expiration Date: / / | Expiration Date: / / |

12. Building Official Name: - Select Person - Expiration Date: / /

License #

Submit Cancel

This screen will display once the user adds the 110A form to a project and selects the “Edit” hyperlink on screen 1.4. The user then fills out the Letter of Transmittal (which is required to be completed for any new project). There is a “Manage Person” control at the top of the form which lets users manage Person entities (ex. Engineers, Presidents, etc.) used through out this form and the other online forms.

Once the user is done completing this form they will need to click the “Submit” button. This will mark the document as “Submitted and send a notification to the Administrator/Administrator Assistant that this document has been submitted.

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2.1 – Form 110B Certification of Occupancy

Project Tracking - Form 110B - Microsoft Internet Explorer

Address: http://localhost:3924/Website/ProjectTracking/Form110B.aspx

Current Project: **ALACHUA COUNTY SCHOOL DISTRICT - 5555 - Phase III** Project Tracking - Form 110B User: EUS/mike.mcelroy [Edit Profile]

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 SCOA
 Community Colleges
 Project Tracking
 Manage Projects
 Create New Project
 View Projects
 Reports
 Admin

DEPARTMENT OF EDUCATION
 Office of Educational Facilities
 Certificate of Occupancy

In accordance with Section 1013.37(2)(c), Florida Statutes, and upon recommendation of the project architect/engineer and the certified inspector, as stated below, the subject is ready for occupancy.

(Superintendent President Designee), SIGNATURE: - Select Person - DATE: / /

Intended Occupancy Date: / /

PROJECT ARCHITECT/ENGINEER AND CERTIFIED INSPECTOR I have inspected the subject project and, to the best of my knowledge and ability, I have determined that the safety systems* are working satisfactorily; the facility is in compliance with statutes, rules, and codes affecting the health and safety of its occupants; and that no asbestos-containing materials were specified for use in this building, nor to the best of knowledge were asbestos contains materials in the construction of this project.

Architect or Engineer of Record:
 High Performance Green Building Standard Used (S. 255.2575(2), F.S.): Rating Achieved:
 Name: - Select Person - License # Expiration Date: / /
 (Architect Engineer), SIGNATURE:

Building Official:
 Name: - Select Person - License # Expiration Date: / /
 SIGNATURE:

Contractor:
 Name: - Select Person - License # Expiration Date: / /

Threshold Inspector (if applicable):
 Name: - Select Person - License # Expiration Date: / /

Project Information:
 Code/Edition: Occupancy Type(s): Construction Type(s): Occupant Load:
 Automatic System Required? Yes No District/Community Permit Number:
 Special Permit Stipulations:

*Safety system include, but are not limited to: exiting, safety, rescue, fire protection, means of egress, master valves, eye wash, and dousing shower in science labs; emergency disconnects in shops; fume and dust collection systems; heat and smoke illumination of means of egress; emergency lighting; emergency power, exit lights; fire alarm systems with required incidental functions; fire extinguishers; fuel fired heaters; electrical illumination; electrical system required ventilation; toilet facilities; kitchen hot water supply; water supply, and sewage disposal as they apply to this project.

Submit Cancel

Done Local intranet

This screen will display once the user adds the 110B form to a project and selects the "Edit" hyperlink on screen 1.4. The user then fills out the Certificate of Occupancy. There is a "Manage Person" control at the top of the form which lets users manage Person entities (ex. Engineers, Presidents, etc.) used through out this form and the other online forms.

Once the user is done completing this form they will need to click the "Submit" button. This will mark the document as "Submitted and send a notification to the Administrator/Administrator Assistant that this document has been submitted.

2.2 – Form 208A Facility Space Chart/Net And Gross Square Footage

Project Tracking - Form 208A

Current Project: **ALACHUA COUNTY SCHOOL DISTRICT - 5595 - Phase III** | User: EUS\mike mceiroy

DEPARTMENT OF EDUCATION
Office of Educational Facilities
Facility Space Chart/Net and Gross Square Footage

INSTRUCTIONS:

- (1) Project architect/engineer shall complete the chart in its entirety.
- (2) Use as many pages of chart as necessary to list individually each space provided in this project.
- (3) List approximate areas as accurately as possible for Phase I and II documents.
- (4) List actual areas in Phase III drawings.
- (5) Net square footage (NSF) shall be measured from inside wall to inside wall.
- (6) Gross Square footage (GSF) shall be measured from face of exterior wall.
- (7) Items 1-6, are designated as spaces other than NSF and are treated as follows:
 - Interior corridors include stairs and elevators and are calculated at full area.
 - Wall thicknesses are calculated in full area.
 - Covered walks are those open to the exterior on at least one side and shall be calculated at one-half (1/2) area using the width of the paving under the roof.
 - Open malls are exterior areas open on at least two sides and roofed over and are calculated at one-half (1/2) area of roofing it.
 - Roof overhangs are calculated at one-third (1/3) of the area based on the extent of overhang exterior wall or structure to outside face of fascia.
 - Open space plan circulation space is required beyond the NSF and this shall be shown in column E only and shall be calculated at full area. Up to an additional four (4) square feet per student is permissible for this circulation.
- (8) Under item 26, show the total area of all HVAC and electrical equipment rooms. Do not include areas of these spaces in the other NSF list.
- (9) List all other spaces under column A with names as shown on the drawing and enter appropriate information in columns B, C, and D.
- (10) Complete the subtotal and total sections at the end of the form.
- (11) Provide detailed explanations on line 32, of reasons areas exceed allowable areas in 31.

(REPRODUCE CHART IN SUFFICIENT QUANTITY FOR YOUR USE.)

ARCHITECT/ENGINEER CERTIFICATION: In my considered professional opinion as Project (Architect Engineer),
the(approximated actual), square footage I have listed below is, to the best of my knowledge, correct for this project as derived from the accompanying floor plans.
(Architect Engineer), SIGNATURE: - Select Person - DATE: / /

FIRM:

ADDRESS Street/P.O. Box: City: State: Zip Code:

TELEPHONE: (###) ### - ####

| Facility Space Name | SREF Design Code | Building Number | Space Number | Net Square Footage of Space | Design Occupant Capacity | Net Square Footage Circulation Walls/Overhangs |
|---|------------------|-----------------|--------------|-----------------------------|--------------------------|--|
| Delete 1. Corridors (interior) | 1 | 50 | 10 | 1,000 | 2,000 | 500 |
| Delete 2. Walls (interior and exterior) | 1 | 55 | 15 | 960 | 1,000 | 250 |
| Delete 3. Covered Walks (1/2 actual) | 1 | 67 | 17 | 1,010 | 1,030 | 578 |
| Delete 4. Open Malls (1/2 actual) | 1 | 75 | 19 | 1,240 | 1,100 | 890 |
| Delete 5. Roof Overhangs (1/3 actual) | 1 | 53 | 23 | 1,420 | 678 | 340 |
| Delete 6. Circulation Space (open space plan) | 1 | 55 | 15 | 960 | 1,000 | 250 |
| Delete 7. Warehousing | 1 | 43 | 34 | 2,340 | 3,450 | 5,650 |
| Delete 8. Classroom | 1 | 21 | 4 | 2,430 | 900 | 350 |

| | |
|--|-----------|
| 9. TOTAL | 10,000.00 |
| 10. TOTAL HVAC and Electrical | 5,000.00 |
| 11. Total Design Capacity | 12,000.00 |
| 12. TOTAL NSF (Total + HVAC and Electrical Total) | 10,000.00 |
| 13. TOTAL Circulation, Walls, Overhangs, etc. | 234.00 |
| 14. Total Gross Area (Total NSF + Circulation, Walls, Overhangs, etc. Total) | 6,589.00 |

RECOMMENDED AREAS

| | |
|--|----------|
| 15. Multiply Total in Line 12. by: | |
| a. 27% (grades K-6 allowed in the Circulation, Walls, Overhangs, etc. Total) | 297.18 |
| 27% (grades 6-9 allowed in the Circulation, Walls, Overhangs, etc. Total) | 308.88 |
| 27% (grades 9-12 allowed in the Circulation, Walls, Overhangs, etc. Total) | 313.56 |
| b. 6% (up to 6% allowed in the HVAC and Electrical Total) | 5,300.00 |

Please provide explanation of why you have exceeded the HVAC and Electrical Total:

Calculate
Submit Cancel

This screen will display once the user adds the 208A form to a project and selects the "Edit" hyperlink on screen 1.4. The user then fills out the Facility Space Chart. There is a "Manage Person" control at the top of the form which lets users manage Person entities (ex. Engineers, Presidents, etc.) used through out this form and the other online forms.

Once the user is done completing this form they will need to click the "Submit" button. This will mark the document as "Submitted and send a notification to the Administrator/Administrator Assistant that this document has been submitted.

2.3 – Form 209 Certificate of Final Inspection

Project Tracking - Form 209 - Microsoft Internet Explorer

Address: http://localhost:3924/Website/ProjectTracking/Form209.aspx

Current Project: **ALACHUA COUNTY SCHOOL DISTRICT - 5555 - Phase III** Project Tracking - Form 209 User: EUSvnlke.mceiroy [Edit Profile]

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 SCOA
 Community Colleges
 Project Tracking
 Manage Projects
 Create New Project
 View Projects
 Reports
 Admin

Manage Persons
 Add Update

DEPARTMENT OF EDUCATION
 Office of Educational Facilities
 Certificate of Final Inspection

SECTION A: Board's Acceptance
 Upon the recommendation of our Project (Architect Engineer) in his certification in Section B below, in acceptance with Chapter 1013, F.S., THE BOARD ACCEPTED the above referenced project on / /

Name (Type or Print): - Select Person -
 Superintendent President, Signature: Date: / /

SECTION B: (Architect Engineer) CERTIFICATION
 As PROJECT (Architect Engineer), I have inspected this project and, in my considered opinion, the work required by the contract for this project has been completed in accordance with approved contract documents; Chapter 1013, Florida Statutes, Rule 6A-2.0010, FAC, Chapter 533, FS, and the Florida Building Code.
 Signature: - Select Person - Date: / /
 Firm Name:
 ADDRESS Street/P.O. Box: City: State: Zip Code:

Section C: (Building Official Other) (Specify) Certification:
 I have inspected the project and, in my considered opinion, it is complete in accordance with applicable statutes, rules, and codes.
 Name (Type or Print): - Select Person -
 Building Official President, Signature: Date: / /

SECTION D: FACILITY INFORMATION

1. Type of Project:
 New Plant Addition
 Remodeling Renovation

2. Corrected "Space Inventory Report" (land, building, room) Has Been Filed with the OEF:
 Yes No NA
 If "No" explain:

3. Source of Funds:
 Local State

4. Adjusted Final Contract Amount: \$0.00
 5. Projected Gross Square Footage: SQ. FT.
 6. Cost Per Gross Square Foot: \$0.00
 7. Cost Per Student Station: \$0.00

8. Building Contract Date: / / Completion Date: / /

9. Change Orders - List of each Change Order and Amount:

| C.O. Number | Amount |
|-------------|---------|
| Delete 1 | \$1,110 |
| Delete 2 | \$2,000 |
| Delete 3 | \$800 |

 Add Change Order

10. Completion Date: / /

11. Additional Information:

Submit Cancel

Done Local Intranet

This screen will display once the user adds the 209 form to a project and selects the “Edit” hyperlink on screen 1.4. The user then fills out the Certificate of Final Inspection. There is a “Manage Person” control at the top of the form which lets users manage Person entities (ex. Engineers, Presidents, etc.) used through out this form and the other online forms.

Once the user is done completing this form they will need to click the “Submit” button. This will mark the document as “Submitted and send a notification to the Administrator/Administrator Assistant that this document has been submitted.

2.4 – Form 220 Building Permit Application

Project Tracking - Form 220 - Microsoft Internet Explorer

Address: http://localhost:3924/Website/ProjectTracking/Form220.aspx

Manage Persons

DEPARTMENT OF EDUCATION
Office of Educational Facilities
Building Permit Application

1. Date of Application: / / 2. Building code In Effect: 3. Proposed Occupancy:

4. Certified District Statement
I certify that all other permits* have been obtained; all contractor's insurance coverages and certificates of insurance are current and have been verified; and fire safety plan review has been approved pursuant to s.633.081, Florida Statutes,
by Certified Fire Safety Inspector of
Date: / / Superintendent, President, or Designee Signature:

*Other permits include, but are not limited to: Department of Environmental Protection, Water Management, Department of Health, Department of Agriculture and Consumer Services, Department of Transportation, Utility Connections.

5. General Contract Information Name: - Select Person - License #
Phone Number: (###) ### - ####
Address Street/P.O. Box: City: State: Zip Code:
Qualifying Agent Name: - Select Person - License #
Phone Number: (###) ### - ####
Address Street/P.O. Box: City: State: Zip Code:

I hereby certify that I have read and examined this application and know the same to be true and correct. All provisions of laws and ordinances governing this type of work will be complied with whether specified herein or not. The granting of a permit does not presume to give authority to violate or cancel the provisions of any state law regulating construction or performance construction.
Date: / / Qualifying Agent's Signature:

6. Construction Cost: 7. Student Stations (Additional): 8. Area (Gross Square Feet):

9. Design Consultants (Fill in all that apply)

Architect Name: License #

Phone Number: (###) ### - ####

Civil Engineer Name: License #

Phone Number: (###) ### - ####

Structural Engineer Name: License #

Phone Number: (###) ### - ####

Mechanical Engineer Name: License #

Phone Number: (###) ### - ####

Electrical Engineer Name: License #

Phone Number: (###) ### - ####

10. Sub-Contractors (Fill in all that apply)

Roofing Name: License #

Phone Number: (###) ### - ####

Address Street/P.O. Box: City: State: Zip Code:

Plumbing Name: License #

Phone Number: (###) ### - ####

Address Street/P.O. Box: City: State: Zip Code:

Gas Name: License #

Phone Number: (###) ### - ####

Address Street/P.O. Box: City: State: Zip Code:

Mechanical Name: License #

Phone Number: (###) ### - ####

Address Street/P.O. Box: City: State: Zip Code:

Electrical Name: License #

Phone Number: (###) ### - ####

Address Street/P.O. Box: City: State: Zip Code:

This screen will display once the user adds the 220 form to a project and selects the "Edit" hyperlink on screen 1.4. The user then fills out the Building Permit Application. There is a "Manage Person" control at the top of the form which lets users manage Person entities (ex. Engineers, Presidents, etc.) used through out this form and the other online forms.

Once the user is done completing this form they will need to click the "Submit" button. This will mark the document as "Submitted and send a notification to the Administrator/Administrator Assistant that this document has been submitted.

2.5 – Form LCCA Life Cycle Cost Analysis

Project Tracking - Form LCCA - Microsoft Internet Explorer

Address: http://localhost:3924/Website/ProjectTracking/LCCA.aspx

Current Project: **ALACHUA COUNTY SCHOOL DISTRICT - 5555 - Phase III** Project Tracking - LCCA User: EUSvmike.mcelroy [Edit Profile]

Manage Persons

DEPARTMENT OF EDUCATION
Office of Educational Facilities
Life Cycle of Cost Analysis

SYSTEM DESCRIPTION

Scheme A:

Scheme B:

Scheme C:

Scheme D:

UNIT ENERGY COSTS

| Fuel Type | Units | BTU/Unit | Unit Cost |
|---------------------------------|-----------------------------------|-------------------------------------|---|
| Delete Electric | <input type="text" value="KWHR"/> | <input type="text" value="3413"/> | <input type="text" value="\$500.00"/> |
| Delete Electric | <input type="text" value="KW"/> | <input type="text" value="DEMAND"/> | <input type="text" value="\$700.00"/> |
| Delete Electric | <input type="text" value="KW"/> | <input type="text" value="14213"/> | <input type="text" value="\$1,000.50"/> |

[Add Unit Energy Cost](#)

ANNUAL COSTS

| Scheme | Maintenance Supplies | Maintenance Labor | Operating Labor | Total Energy |
|--------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| A | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> |
| B | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> |
| C | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> |
| D | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> | <input type="text" value="\$0.00"/> |

HVAC SYSTEM INSTALLED COSTS

Scheme A:

Scheme B:

Scheme C:

Scheme D:

A/C System Tonnage:

SINGLE EXPENDITURE DATA

PWF Multiplier from VII. Single Expenditure Chart
Present Worth = (Item Cost in today's dollars) x PWF

| Scheme | Item Name | Year | Item Cost | PWF | Present Worth |
|--------------------------|-----------|------|------------|-------|---------------|
| Delete A | Item 1 | 2005 | \$555.00 | 1,234 | \$684,870.00 |
| Delete B | Item 2 | 2006 | \$755.00 | 1,000 | \$755,000.00 |
| Delete C | Item 3 | 2005 | \$1,000.00 | 500 | \$500,000.00 |

[Add Single Expenditure](#)

TOTAL MAJOR REPAIR COSTS
(Sum of Present Worths on this page.)

Scheme A:

Scheme B:

Scheme C:

Scheme D:

Project Tracking - Farm LCCA - Microsoft Internet Explorer

Address: http://localhost:3924/Website/ProjectTracking/LCCA.aspx

PRESENT WORTH IN TODAY'S DOLLARS

INITIAL COST = HVAC System Installed Cost
 SUPPLIES = Annual Maintenance Supplies x 11.65
 LABOR = Annual Total Labor x 11.65
 MAJOR REPAIR = Total Major Repair Costs
 ENERGY COST = Annual Energy Cost x 12.78
 CALCULATION % = (Total Cost - Total Lowest Cost) / Lowest Total Cost

FINANCIAL SUMMARY
 (Total cost over 25-year life of project)

| | Scheme A | Scheme B | Scheme C | Scheme D |
|---------------|----------|----------|----------|----------|
| Initial Cost | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Supplies | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Labor | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Major Repairs | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Energy Cost | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Total Cost | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| Calculation % | \$0.00 | \$0.00 | \$0.00 | \$0.00 |

ENERGY SUMMARY
 (Annual energy use in MBtu per square foot per year)

| | Scheme A | Scheme B | Scheme C | Scheme D |
|-----------------|----------|----------|----------|----------|
| Lights | 0.00 | 0.00 | 0.00 | 0.00 |
| Primary Heating | 0.00 | 0.00 | 0.00 | 0.00 |
| Primary Cooling | 0.00 | 0.00 | 0.00 | 0.00 |
| Terminal System | 0.00 | 0.00 | 0.00 | 0.00 |
| Other Uses* | 0.00 | 0.00 | 0.00 | 0.00 |
| Total | 0.00 | 0.00 | 0.00 | 0.00 |

*List other uses

ENGINEER, Name:

Firm Name:

Address:

City: State: Zip Code:

Phone: (###) ### - #####

Email:

Signature:

Date Signed: / /

(Sealed)

This screen will display once the user adds the LCCA form to a project and selects the "Edit" hyperlink on screen 1.4. The user then fills out the Life Cycle Cost Analysis. There is a "Manage Person" control at the top of the form which lets users manage Person entities (ex. Engineers, Presidents, etc.) used through out this form and the other online forms.

Once the user is done completing this form they will need to click the "Submit" button. This will mark the document as "Submitted and send a notification to the Administrator/Administrator Assistant that this document has been submitted.

Project and Document Statuses

| | | |
|--|--|--|
| | | |
| | | |
| | | |

3.1 – Project Status Lifecycle

The project status lifecycle will be very open and flexible. A list of possible project statuses is listed below:

- ACTIVE – The application initially marks a project to this status when it is first created.
- COMPLETE – A project can only be set to this status by a Project Administrator.
- CANCELLED – was active at one time, and then was stopped.
- DELETED – User deleted, but keep in table for audit history.

A project Administrator will be able to set a project to any of these above statuses with certain restrictions. For example, a administrator will not be able to mark a project as COMPLETE until all reviews for that project are complete.

3.2 – Document Status Lifecycle

Documents associated to a project will also have their own statuses. A list of possible document statuses is listed below:

- DRAFT – A document is initially marked as this when it is first added to a project but has not been filled-out and submitted yet.
- SUBMITTED – A document that has been filled-out and submitted but has not been reviewed yet.
- UNDERREVIEW – A document that has a reviewer assigned to it.
- REVIEWED – A document that has been reviewed.

Revision History

| Date | Person Responsible | Description |
|----------------|---------------------------|--|
| April 17, 2009 | H. Michael McElroy | Original Version |
| April 28, 2009 | H. Michael McElroy | Added the Project and Document statuses lifecycle information. |
| | | |

Functional Design Specification

Five Year Work Plan


Version: 1.8

TABLE OF CONTENTS

- DESIGN OVERVIEW 1**
- USER SERVICES..... 2**
 - 1 - REVENUE IDENTIFICATION 2
 - 2 - EXPENDITURE IDENTIFICATION 11
 - 4 - TRACKING 21
 - 5 - PLANNING 32
 - 6 - LONG RANGE PLANNING 33
 - 7 - ADMINISTRATIVE FUNCTIONALITY 42
- DATA SERVICES 54**
 - PHASE 1 – ENSURE ALL WORK PLANS ARE SUBMITTED 55
 - PHASE 2 – MARK WORK PLANS AS ‘REVIEWED’ 57
 - PHASE 3 – GENERATE WORK PLAN REPORTS 61
 - PHASE 4 – ARCHIVE ALL LOOKUP TABLE VALUES FOR HISTORICAL PURPOSES 64
 - PHASE 5 – MARK YEAR AS ‘ARCHIVED’ 63
 - PHASE 6 – MAKE ANY NEEDED UPDATES TO THE WORK PLAN SCREENS AND DATABASE 64
 - PHASE 7 – LOAD FISH DATA 65
 - PHASE 8 – ROLL/COPY DATA FORWARD 69
 - PHASE 9 – IMPORT EXTERNAL DATA 76
- APPENDIX 1 - BREAKDOWN OF DATA LOADING ACTIONS BY SCREEN 79**
- APPENDIX 2 – WORK PLAN REFERENCE TABLES 81**
- REVISION HISTORY 82**

Design Overview

Annually, prior to the adoption of the district school budget, each school board must prepare a tentative district educational facilities work program that includes long-range planning for facilities needs over 5-year, 10-year, and 20-year periods. The 5-year plan is intended to be a useful and meaningful document for planning, preparing, and prioritizing the current and 5-year capital outlay needs of the district.



User Services

1 - Revenue Identification

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---|--------|
| 1.1.1.1 | Full value of 2-mill discretionary capital outlay | 1.1 |
| 1.1.1.2 | PECO new construction | 1.2 |
| 1.1.1.3 | CO&DS Cash flow-through distributed | 1.3 |
| 1.1.1.4 | Fair Share Revenue | 1.4 |
| 1.1.1.5 | Sales Surtax | 1.5 |
| 1.1.1.6 | Additional revenue | 1.6 |

1.1 Revenue Summary

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Revenue/Revenue.aspx>

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
Work Plan - Current Revenue Totals
User: EUS\Brian.Gouin [Edit Profile]

2-Mill Revenue (16) PECO Revenue (16) CO & DS Revenue (16) Fair Share Revenue (5A) Sales Surtax Revenue (19A, 19B) Additional Revenue (16)

Current Revenue Totals [Export to Excel](#)

Schedule of Estimated Capital Outlay Revenue from each currently approved source which is estimated to be available for expenditures on the projects included in the tentative district facilities work program.

Current year 2007-08. Projected years (this should be revenue amounts projected for each year 2008-09 through 2011-12).

| Item | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---|-----------------------|-------------------|-------------------|-------------------|-------------------|----------------|
| Local Two Mill Discretionary Capital Outlay Revenue | \$37,068,139 | \$42,175,738 | \$48,151,595 | \$55,022,321 | \$63,148,538 | \$245,566,331 |
| Maintenance Expenditures | (\$10,000) | (\$10,000) | (\$10,000) | \$0 | \$0 | (\$30,000) |
| 2 Mill Other Eligible Expenditures | (\$50,000) | \$0 | \$0 | \$0 | \$0 | (\$50,000) |
| PECO Maintenance Expenditures | (\$2,379,455) | (\$2,282,941) | (\$2,039,814) | (\$1,902,012) | (\$1,889,724) | (\$10,493,946) |
| PECO Maintenance Revenue | \$2,379,455 | \$2,282,941 | \$2,039,814 | \$1,902,012 | \$1,889,724 | \$10,493,946 |
| | \$37,008,139 | \$42,165,738 | \$48,141,595 | \$55,022,321 | \$63,148,538 | \$245,486,331 |

| Item | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-------------------------------|-----------------------|-------------------|-------------------|-------------------|-------------------|---------------|
| CO & DS Revenue | \$146,542 | \$146,542 | \$146,542 | \$146,542 | \$146,542 | \$732,710 |
| PECO New Construction Revenue | \$1,597,441 | \$425,068 | \$231,730 | \$340,629 | \$364,323 | \$2,959,191 |
| Other/Additional Revenue | \$3,380,434 | \$5,000,000 | \$0 | \$0 | \$0 | \$8,380,434 |
| | \$42,132,556 | \$47,737,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,558,666 |

This screen is the summary page of all revenue categories and any amounts that have been specified for them. Users will be able to check back on this screen periodically to check how their data entry is affecting the total amounts of revenue for each of the five years covered by the current work plan. These values presented on this screen all represent sums of the various categories presented in the 'Revenue' section of the application. No data entry or data import takes place on this screen.

1.2 2-mill Fund Sources (Section 16)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Revenue/2Mill.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
Work Plan - 2 Mill Revenue Source
User: EUS\Brian.Gouin [Edit Profile]

2-Mill Revenue (16) PECO Revenue (16) CO & DS Revenue (16) Fair Share Revenue (5A) Sales Surtax Revenue (19A, 19B) Additional Revenue (16)

2 Mill Revenue Source [Export to Excel](#)

Mark As Complete

Schedule of Estimated Capital Outlay Revenue from each currently approved source which is estimated to be available for expenditures on the projects included in the tentative district facilities work program. All amounts are NET after considering carryover balances, interest earned, new COP's, 1011.14 and 1011.15 loans, etc. Districts cannot use 2-Mills for salaries except for those explicitly associated with maintenance/repair projects. (1011.71 (5), F.S.)

| Item | Fund | 2007-08 Actual Value | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|--|------|----------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| (1) Non-exempt property assessed valuation | | \$19,509,546,691 | \$22,197,756,698 | \$25,342,944,974 | \$28,959,116,240 | \$33,236,072,632 | \$129,245,437,235 |
| (2) The Millege projected for discretionary capital outlay per s.1011.71 | | 2.000 | 2.000 | 2.000 | 2.000 | 2.000 | |
| (3) Full value of the 2-Mill discretionary capital outlay per s.1011.71 | | \$37,068,139 | \$42,175,738 | \$48,151,595 | \$55,022,321 | \$63,148,538 | \$245,566,331 |
| (4) Value of the portion of the 2-Mills ACTUALLY levied | 370 | \$37,068,139 | \$42,175,738 | \$48,151,595 | \$55,022,321 | \$63,148,538 | \$245,566,331 |
| (5) Difference of lines (3) and (4) | | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

Save

This screen will show users the non-exempt property assessed valuation of the 2-mill levy, the millege projected for discretionary capital outlay, the calculated full value of the 2-Mill discretionary capital outlay and the value of the portion of 2-Mill actually levied and the difference between the full value and value actually levied.

The five rows displayed in this grid are as follows:

| Field Name | Required | Description | Special Validation |
|--|----------|--|----------------------------|
| Non-exempt property assessed valuation | Yes | Property assessed valuation for the current year plus four years out. The current year will be entered by the user; each of the projected years will be imported Economic and Demographic Research data. | |
| Millage projected for discretionary capital outlay per s.1011.71 | Yes | The amount to be actually levied. | Must be between 0 and 1.75 |
| Full value of 2-mill discretionary capital outlay | Yes | The value of a full 2-mill against the assessed valuation. | |

| | | | |
|---|-----|---|--|
| Value of portion of 2-mills actually levied | Yes | 2-mill actually levied | |
| Difference of lines 3 and 4 | Yes | The full value of the 2-mill discretionary capital outlay – value of portion of the 2-mills actually levied | |

1.3 PECO Fund Sources (Section 16)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Revenue/PECO.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
Work Plan - PECO Revenue Source
User: EUS\Brian.Gouin [Edit Profile]

2-Mill Revenue (16) PECO Revenue (16) CO & DS Revenue (16) Fair Share Revenue (5A) Sales Surtax Revenue (19A, 19B) Additional Revenue (16)

PECO Revenue Source [Export to Excel](#)

Mark As Complete

Current year 2007-08 (this should be the same as the school board adopted current year capital outlay budget). Projected years (this should be revenue amounts projected for each year 2008-09 through 2011-12). The figure in the row designated "PECO Maintenance Dollars" will be subtracted in line 16 (Total) because PECO maintenance dollars cannot be used for new construction.

| Item | Fund | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-----------------------|------|-----------------------|-------------------|-------------------|-------------------|-------------------|--------------|
| PECO New Construction | 340 | \$1,597,441 | \$425,068 | \$231,730 | \$340,629 | \$364,323 | \$2,959,191 |
| PECO Maintenance | | \$2,379,455 | \$2,282,941 | \$2,039,814 | \$1,902,012 | \$1,889,724 | \$10,493,946 |

This screen will present the user with a summary of the total PECO new construction and PECO maintenance dollars. These values will be imported from the PECO system.

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|--|--------------------|
| PECO new construction | Yes | The amount of PECO dollars allocated to the district for new construction. This data will be imported from the PECO system. | |
| PECO Maintenance dollars | Yes | The amount of PECO dollars allocated to the district for maintenance, renovation, and repair. This data will be imported from the PECO system. | |

1.4 CO&DS Fund Sources (Section 16)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Revenue/CODS.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
 Work Plan - CO & DS Revenue Source
 User: EUS\Brian.Gouin [Edit Profile]

2-Mill Revenue (16) PECO Revenue (16) CO & DS Revenue (16) Fair Share Revenue (5A) Sales Surtax Revenue (19A, 19B) Additional Revenue (16)

CO & DS Revenue Source [Export to Excel](#)

Mark As Complete

Current year 2007-08 (this should be the same as the school board adopted current year capital outlay budget).
 Projected years (this should be revenue amounts projected for each year 2008-09 through 2011-12).

| Item | Fund | 2007-08 Projected | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---------------------------------------|------|-------------------|-------------------|-------------------|-------------------|-------------------|------------------|
| CO & DS Cash Flow-through Distributed | 360 | \$123,129 | \$123,129 | \$123,129 | \$123,129 | \$123,129 | \$615,645 |
| CO & DS Interest on Undistributed CO | 360 | \$23,413 | \$23,413 | \$23,413 | \$23,413 | \$23,413 | \$117,065 |
| Totals: | | \$146,542 | \$146,542 | \$146,542 | \$146,542 | \$146,542 | \$732,710 |

This screen will allow the user to input revenue dollars related to CO & DS activities. This information is validated from the SCOA system. No data is entered for this screen.

| Field Name | Required | Description | Special Validation |
|---------------------------------------|----------|---|--------------------|
| CO&DS cash flow-through distributed | No | Dollars resulting from a cash flow-through distribution. | |
| CO&DS Interest on Undistributed CO&DS | No | Dollars resulting from earned interest on undistributed capital outlay. | |

1.5 Fair Share Mitigation Revenue (Section 16, 5A)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Revenue/FairShare.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
Work Plan - Fair Share Revenue Source
User: EUS\Brian.Gouin [Edit Profile]

2-Mill Revenue (16) PECO Revenue (16) CO & DS Revenue (16) Fair Share Revenue (5A) Sales Surtax Revenue (19A, 19B) Additional Revenue (16)

Fair Share Revenue Source [Export to Excel](#)

Mark As Complete

All legally binding commitments for proportionate fair-share mitigation for impacts on public school facilities shall be included in the 5-year work plan. The 5-year work plan must be amended anytime new commitments are entered into. Each commitment must clearly identify the appropriate mitigation option, and specifically what the mitigated contribution will be used for, e.g., contribution of land, actual construction or expansion of school facilities, or the creation of mitigation banking.

Briefly describe each legally binding commitment for proportionate fair-share mitigation and how the mitigation will be used. If the mitigation is money, indicate the amount by year; otherwise, briefly describe the legally binding commitment.

| Item | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---|-----------------------|-------------------|-------------------|-------------------|-------------------|--------------|
| Delete <input type="text"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

This screen will allow users to input all legally binding commitments for proportionate fair-share mitigation with a description of how the mitigation will be used and the projected cost of the project over the next 4 years.

| Column Name | Required | Description | Special Validation |
|---------------|----------|--|--------------------|
| Item | Yes | Description of commitment to identify mitigation. | |
| Actual budget | Yes | The amount to be brought in during the current year. | |
| Projected 1-4 | Yes | The amounts to be brought in over the next four years. | |

1.6 Additional Revenue Options (Section 16, 19)

- EFIS Home
- FISH
- Five Year Work Plan
- Work Plan User Manual
- Expenditure
- Revenue
- Project Schedules
- Tracking
- Planning
- Long Range Planning
- Submit Work Plan
- Admin
 - Work Plan Sections
 - Additional Revenue Types
 - Maintenance Expenditure Types
 - State Expenditure Types
 - Local Expenditure Types
 - Fund Codes
 - Manage Work Plans
 - Review Work Plans

2-Mill Revenue (16) PECO Revenue (16) CO & DS Revenue (16) Fair Share Revenue (5A) Sales Surtax Revenue (19A, 19B) Additional Revenue (16)

Additional Revenue Source [Export to Excel](#)

Mark As Complete

Current year 2007-08. Projected years (this should be revenue amounts projected for each year 2008-09 through 2011-12).

| Item | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---|-----------------------|-------------------|-------------------|-------------------|-------------------|--------------------|
| Effort Index Grants | \$3,380,434 | \$0 | \$0 | \$0 | \$0 | \$3,380,434 |
| Proceeds from a s.1011.14/15 F.S. Loans | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| District Bonds - Voted local bond referendum proceeds per s.9, Art VII State Constitution | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Proceeds from Special Act Bonds | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Estimated Revenue from CO & DS Bond Sale | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Proceeds from Voted Capital Improvements millage | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other Revenue for Other Capital Projects | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Proceeds from 1/2 cent sales surtax authorized by school board | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Proceeds from local governmental infrastructure sales surtax | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Proceeds from Certificates of Participation (COP's) Sale | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Classrooms First Bond proceeds amount authorized in FY 1997-98 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Classrooms for Kids | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| District Equity Recognition | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Federal Grants | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Proportionate share mitigation (actual cash revenue only, not in kind donations) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Impact fees received | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Private donations | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants from local governments or not-for-profit organizations | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Interest, Including Profit On Investment | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Revenue from Bonds pledging proceeds from 1 cent or 1/2 cent Sales Surtax | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Fund Balance Carried Forward | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Obligated Fund Balance Carried Forward | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | \$3,380,434 | \$0 | \$0 | \$0 | \$0 | \$3,380,434 |

Other - Please Specify

This screen will allow users to input revenue sources from a variety of different categories. This screen will present users with a list of pre-defined categories (which will be specified by OEF each year) in addition to allow them to enter additional 'Other' categories for which they will provide a description.

| Column Name | Required | Description | Special Validation |
|----------------------|-----------------|--|---------------------------|
| Item | Yes | Description of additional revenue source. This field will either be pre-defined by system administrators or have a description defined by the user. | |
| Actual budget | Yes | The amount to be brought in for the current year. | |
| Projected 1-4 | Yes | The amounts to be brought in over the next four years. | |

1.7 Surtax Referendums (Section 19A, 19B)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Revenue/SalesSurtax.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
Work Plan - Sales Surtax Revenue Sources
User: EUS\Brian.Gouin [Edit Profile]

2-Mill Revenue (16) PECO Revenue (16) CO & DS Revenue (16) Fair Share Revenue (5A) Sales Surtax Revenue (19A, 19B) Additional Revenue (16)

Sales Surtax Revenue Sources [Export to Excel](#)

Mark As Complete

The "Sales Surtax Revenue Sources (Section 19A & 19B)" screen allows districts to specify whether the district held a referendum for a 1-cent or ½-cent surtax in the current year. If you stipulate that a referendum was held, enter specific information about the referendum.

If you click "No" on the radio button, simply check the "Mark as Complete" box; no further action is necessary. If you click the "Yes" radio button, certain detail fields will automatically become available to report data for this section.

Did the school district hold a surtax referendum during the past fiscal year(2007 - 2008)

Yes No (NOTE: If this Work Plan has a Sales Surtax section choosing No will remove this section from the Work Plan.)

Surtax Details

Select the type: Half Cent Sales Surtax

Date of Election: / /

Date of Expiration: / /

Anticipated Revenue Start Date: / /

Anticipated Revenue End Date: / /

Estimated Annualized Revenue: \$0

Total \$ Amount Projected to be Received for the Duration of Tax: \$0

Number of Years Tax In Effect: 0

Percentage of Vote FOR: 0 %

Percentage of Vote AGAINST: 0 %

This screen will allow users to specify whether or not their district held a referendum for a 1 cent or ½ cent surtax in the current year. If users specify that their districts held such a referendum, they will be prompted to enter information about the referendum.

| Field Name | Required | Description | Special Validation |
|---------------------------------|----------|---|--------------------|
| Date of election | Yes | Date of election | |
| Date of expiration | Yes | Date of expiration | |
| Anticipated start date | Yes | Anticipated start date of dollar amount | |
| Anticipated end date | Yes | Anticipated end date of dollar amount | |
| Estimated annual revenue | Yes | Annual revenue | |
| Amount received duration of tax | Yes | Amount received for duration of tax | |
| Number year tax in effect | Yes | Number years tax in effect | |
| Percentage vote for | Yes | Percentage of vote for | |

| Percentage vote against | Yes | Percentage of vote against | |
|-------------------------|-----|----------------------------|--|
|-------------------------|-----|----------------------------|--|

2 - Expenditure Identification

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|------------------------------------|--------|
| 1.2.1.1 | Maintenance, Renovation and Repair | 2.1 |
| 1.2.1.2 | Local Expenditures | 2.2 |
| 1.2.1.3 | State Expenditures | 2.3 |

2.1 Maintenance, Renovation, and Repair Expenditures (Section 1)

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Expenditure/Maintenance.aspx>

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT **Work Plan - Maintenance Expenditures** User: EUS\Brian.Gouin [Edit Profile]

[Maintenance Expenditure \(1\)](#) [Local Expenditure \(16\)](#) [State Expenditure \(16\)](#)

Expenditure for Maintenance, Repair and Renovation [Export to Excel](#)

Mark As Complete

PREPARATION OF TENTATIVE DISTRICT FACILITIES WORK PROGRAM

Annually, prior to the adoption of the district school budget, each school board shall prepare a tentative district facilities work program that includes:

A schedule of major repair and renovation projects necessary to maintain the educational facilities and ancillary facilities of the district.

Current year 2007-08.
Projected years (this should be expenditure amounts projected for each year 2008-09 through 2011-12).

| Item | Location | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---------------------------|-----------------------------------|-----------------------|-------------------|-------------------|-------------------|-------------------|--------------|
| HVAC | 2 Facilities | \$10,000 | \$10,000 | \$10,000 | \$0 | \$0 | \$30,000 |
| Flooring | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Roofing | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Safety to Life | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Fencing | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Parking | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Electrical | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Fire Alarm | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Telephone/Intercom System | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Closed Circuit Television | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Paint | Choose Facilities | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | | \$10,000 | \$10,000 | \$10,000 | \$0 | \$0 | \$30,000 |

Other - Please Specify

This screen will allow users to input information regarding major projects to be undertaken within their district in the current year and four years out. The screen will also allow the user to input additional "Other" information and associate a facility with the item.

| Field Name | Required | Description | Special Validation |
|----------------------------|-----------------|---|---------------------------|
| Item | Yes | A general description of the maintenance project. This value will either be pre defined by a system administrator or will be provided by the user. | |
| Location | Yes | The facility or facilities that will be affected by the project. | |
| Actual budget | Yes | The amount to be expended in the current year. | |
| Projected Costs 1-4 | Yes | The projected amount to be expended over the next four years. | |
| Choose facility | Yes | The location of facilities to associate with the expenditure | |

2.2 Local Expenditure Identification

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Expenditure/Local.aspx>

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
 Work Plan - Local Expenditures
 User: EUS\Brian.Gouin [Edit Profile]

Maintenance Expenditure (1) Local Expenditure (16) State Expenditure (16)

Local Two Mill Expenditure For Maintenance, Repair and Renovation [Export to Excel](#)

Mark As Complete

The "Expenditures (Section 16)" screen allows districts to input the anticipated expenditures expected from local funding sources over the years covered by the current work plan. In addition to the pre-defined expenditure categories (annually updated by OEF), districts can specify multiple 'Other' categories to describe and identify locally defined projects and funding amounts.

| Item | 2007-08 Actual Budget | 2008-09 Projected Cost | 2009-10 Projected Cost | 2010-11 Projected Cost | 2011-12 Projected Cost | 5 Year Total |
|---|-----------------------|------------------------|------------------------|------------------------|------------------------|--------------|
| Minor Maintenance/Repair | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Maintenance/Repair Salaries | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| School Bus Purchases | \$50,000 | \$0 | \$0 | \$0 | \$0 | \$50,000 |
| Other Vehicle Purchases | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Capital Outlay Equipment | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Rent/Lease Payments | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| COP Debt Service | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Rent/Lease Relocatables | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Environmental Problems | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| s.1011.14 Debt Service | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Remodeling | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| One Cent - 1/2 Cent Sales Surtax Debt Service | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | \$50,000 | \$0 | \$0 | \$0 | \$0 | \$50,000 |

Other - Please Specify

| Item | 2007-08 Actual Budget | 2008-09 Projected Cost | 2009-10 Projected Cost | 2010-11 Projected Cost | 2011-12 Projected Cost | 5 Year Total |
|------------------------|-----------------------|------------------------|------------------------|------------------------|------------------------|--------------|
| Delete | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | \$50,000 | \$0 | \$0 | \$0 | \$0 | \$50,000 |

This screen will allow users to input values representing expenditures to be made against **local** funding sources over the years covered by the current work plan. In addition to presenting the user with a number of pre-defined expenditure categories (which will be defined by OEF each year), users will have the ability to specify multiple 'Other' categories for which they will provide their own descriptions.

| Field Name | Required | Description | Special Validation |
|------------------|----------|--|--------------------|
| Item Description | Yes | A description of the expenditure category. This field will either be pre defined by a system administrator or input by the user. | |
| Actual budget | Yes | The amount to be expended in the current year. | |

| | | | |
|----------------------|------------|---|--|
| Projected 1-4 | Yes | The amounts to be expended in the coming four years. | |
|----------------------|------------|---|--|

2.3 State Expenditure Identification

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Expenditure/State.aspx>

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: **2007 - 2008 BAY COUNTY SCHOOL DISTRICT** Work Plan - State Expenditures User: EUS\Brian.Gouin [Edit Profile]

Maintenance Expenditure (1) Local Expenditure (16) State Expenditure (16)

State PECO Funds For Maintenance, Repair and Renovation [Export to Excel](#)

Mark As Complete

The "State Expenditure (Section 16)" screen allows districts to input the anticipated expenditures expected from state funding sources over the years covered by the current work plan. In addition to the pre-defined expenditure categories (annually updated by OEF), districts can specify multiple 'Other' categories to describe and identify locally defined projects and other state funding amounts.

| Item | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---|-----------------------|-------------------|-------------------|-------------------|-------------------|--------------|
| PECO Used for Maintenance, Repair, and Renovation | \$2,379,455 | \$2,282,941 | \$2,039,814 | \$1,902,012 | \$1,889,724 | \$10,493,946 |
| | \$2,379,455 | \$2,282,941 | \$2,039,814 | \$1,902,012 | \$1,889,724 | \$10,493,946 |

Other - Please Specify

| Item | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|--------|-----------------------|-------------------|-------------------|-------------------|-------------------|--------------|
| Delete | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | \$2,379,455 | \$2,282,941 | \$2,039,814 | \$1,902,012 | \$1,889,724 | \$10,493,946 |

This screen will allow users to input values representing expenditures to be made against **state** funding sources over the years covered by the current work plan. In addition to presenting the user with a number of pre-defined expenditure categories (which will be defined by OEF each year), users will have the ability to specify multiple 'Other' categories for which they will provide their own descriptions.

| Field Name | Required | Description | Special Validation |
|------------------|----------|--|--------------------|
| Item Description | Yes | A description of the expenditure category. This field will either be pre defined by a system administrator or input by the user. | |
| Actual budget | Yes | The amount to be expended in the current year. | |
| Projected 1-4 | Yes | The amounts to be expended in the coming four years. | |

3 - Project Schedules

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|----------------------------------|--------|
| 1.3.7.2 | Projects funded with revenue | 3 |
| 1.3.7.2 | Projects not funded with revenue | 3 |
| 1.3.6.1 | Capacity Project Schedules | 3.1 |
| 1.3.6.2 | Other Project Schedules | 3.2 |
| 1.3.2 | Additional Project Schedules | 3.3 |

Address: http://doe-tapp01/EFISInternal/WorkPlan/ProjectSchedule/ProjectSchedule.aspx

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Project Schedules

User: EUS\Brian.Gouin [Edit Profile]

[Capacity Project Schedules \(2A\)](#) [Other Project Schedules \(2B\)](#) [Additional Project Schedules](#)

Project Schedules [Export to Excel](#)

The Project Schedules component identifies capital outlay projects, non-capital outlay projects, projects that will be funded, projects that cannot be funded from available revenue sources, and any planned development projects that will not be funded. These schedules include projects for new construction, remodeling, and renovation of educational facilities.

| | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-----------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| Net Available Revenue | \$42,132,556 | \$47,737,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,558,666 |
| Funded Project Cost | \$5,500 | \$5,000 | \$0 | \$0 | \$0 | \$10,500 |
| Work Plan Balance | \$42,127,056 | \$47,732,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,548,166 |

Projects FUNDED from current and projected revenue

Schedule indicating which projects necessary for the availability of **satisfactory classrooms that will be funded** from revenues projected in Section 16 to support the projected student enrollment in K-12 programs (Section 17A).

| Project Description | Number of Classrooms | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-------------------------------|----------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| test at Lynn Haven Elementary | 1 | \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |
| ac at Arnold Senior High | 2 | \$5,000 | \$5,000 | \$0 | \$0 | \$0 | \$10,000 |
| | 3 | \$5,500 | \$5,000 | \$0 | \$0 | \$0 | \$10,500 |

Schedule indicating which **non-classroom projects that will be funded** from current revenues projected (Section 17B).

No projects meet this criteria.

Projects that CANNOT BE FUNDED from current revenue

Schedule indicating which projects necessary for the availability of **satisfactory classrooms that cannot be funded** from revenues projected in Section 16 to support the projected student enrollment over the next five years (Section 18A).

| Project Description | Number of Classrooms | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-----------------------------------|----------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| aaa at Oakland Terrace Elementary | 3 | \$5,000 | \$0 | \$0 | \$0 | \$0 | \$5,000 |
| test at Patterson Elementary | 5 | \$1,000 | \$4,000 | \$0 | \$0 | \$0 | \$5,000 |
| | | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | 8 | \$6,000 | \$4,000 | \$0 | \$0 | \$0 | \$10,000 |

Schedule indicating which **non-classroom projects** included in the tentative district facilities work program in Section 2 above that **CANNOT be funded** from current revenues projected over the next five years (Section 18B).

| Project Description | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|--|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| test at Merriam Cherry Street Elementary | \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |
| | \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |

Schedule indicating which growth management projects, that CANNOT be funded from current revenues projected over the next five years (Section 18C).

| Project Description | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| aaa | \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |
| test | \$2 | \$1,000 | \$0 | \$0 | \$0 | \$1,002 |
| | \$502 | \$1,000 | \$0 | \$0 | \$0 | \$1,502 |

3.2 Capacity Project Schedules (2A)

Address: http://doe-tapp01/EFISInternal/WorkPlan/ProjectSchedule/CapacityProject.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan

Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Capacity Project Schedules

User: EUS\Brian.Gouin [Edit Profile]

[Capacity Project Schedules \(2A\)](#) [Other Project Schedules \(2B\)](#) [Additional Project Schedules](#)

Capacity Project Schedules [Export to Excel](#)

Mark As Complete

A schedule of capital outlay projects necessary to ensure the availability of **satisfactory classrooms** for the projected student enrollment in K-12 programs.

The projected cost for each project identified in the tentative district facilities work program. For proposed projects for new student stations, a schedule shall be prepared comparing the planned cost and square footage for each new student station, by elementary, middle, and high school levels, to the low, average, and high cost of facilities constructed throughout the state during the most recent fiscal year for which data is available from the Department of Education.

| | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-----------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| Net Available Revenue | \$42,132,556 | \$47,737,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,558,666 |
| Funded Project Cost | \$5,500 | \$5,000 | \$0 | \$0 | \$0 | \$10,500 |
| Work Plan Balance | \$42,127,056 | \$47,732,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,548,166 |

| Funded | Project Description | 2007-08 | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 5 Year Total |
|--|--------------------------|-----------------------|----------------|------------|------------|------------|-----------------|
| Edit <input checked="" type="checkbox"/> | LYNN HAVEN ELEMENTARY | Planned Cost: \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |
| Delete | Student Stations: | 5 | 0 | 0 | 0 | 0 | 5 |
| | test | Total Classrooms: 1 | 0 | 0 | 0 | 0 | 1 |
| | | Gross Sq Ft: 200 | 0 | 0 | 0 | 0 | 200 |
| Edit <input checked="" type="checkbox"/> | ARNOLD SENIOR HIGH | Planned Cost: \$5,000 | \$5,000 | \$0 | \$0 | \$0 | \$10,000 |
| Delete | Student Stations: | 12 | 12 | 0 | 0 | 0 | 24 |
| | ac | Total Classrooms: 1 | 1 | 0 | 0 | 0 | 2 |
| | | Gross Sq Ft: 300 | 300 | 0 | 0 | 0 | 600 |
| Edit <input type="checkbox"/> | | Planned Cost: \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Delete | Student Stations: | 0 | 0 | 0 | 0 | 0 | 0 |
| | Total Classrooms: | 0 | 0 | 0 | 0 | 0 | 0 |
| | Gross Sq Ft: | 0 | 0 | 0 | 0 | 0 | 0 |
| | Planned Cost: | \$5,500 | \$5,000 | \$0 | \$0 | \$0 | \$10,500 |
| | Student Stations: | 17 | 12 | 0 | 0 | 0 | 29 |
| | Total Classrooms: | 2 | 1 | 0 | 0 | 0 | 3 |
| | Gross Sq Ft: | 500 | 300 | 0 | 0 | 0 | 800 |

[Add New Capacity Project](#)

This screen will allow users to check a project necessary to ensure availability of satisfactory classrooms for the projected 5 years. The screen will allow a user to check a project schedule for capacity tracking. By clicking the button "Add New Capacity Project", the system will allow the user to enter new projects.

| Field Name | Required | Description | Special Validation |
|---------------------|----------|--|--------------------|
| Funded | No | Denotes whether or not the project represented by that line is to be funded. | |
| Project Description | Yes | The description of the project. This field will be pulled in from the Five Year Survey system. | |
| Planned Cost | Yes | The planned cost of the project for actual year and projected 4 years out | |

| | | | |
|-------------------------|------------|---|--|
| Student stations | Yes | The new student stations expected for current year and projected 4 years out | |
| Total Classrooms | Yes | The number of classrooms to be added by the project for the current year and projected 4 years out | |

3.3 Other Project Schedules (2B)

Address: http://doe-tapp01/EFISInternal/WorkPlan/ProjectSchedule/OtherProject.aspx#bottom

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
 Work Plan - Other Project Schedules
 User: EUS\Brian.Gouin [Edit Profile]

Capacity Project Schedules (2A) Other Project Schedules (2B) Additional Project Schedules

Other Project Schedules Export to Excel

Mark As Complete

The "Other Project Schedules (2B)" designates which projects are to be funded and which ones cannot be funded. Primarily, this section deals with major renovations, remodeling, and additions and capital outlay projects that do not add capacity to schools.

| | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-----------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| Net Available Revenue | \$42,132,556 | \$47,737,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,558,666 |
| Funded Project Cost | \$5,500 | \$5,000 | \$0 | \$0 | \$0 | \$10,500 |
| Work Plan Balance | \$42,127,056 | \$47,732,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,548,166 |

| Funded | Project Description | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|--------------------------|---|-----------------------------|----------------------|----------------------|----------------------|----------------------|--------------------|
| <input type="checkbox"/> | MERRIAM CHERRY STREET ELEMENTARY test | \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |
| <input type="checkbox"/> | | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| <input type="checkbox"/> | None | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| | | \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |

Add New Non Capacity Project

This screen will present the user with a summary of the selections made with regard to breaking down the costs of each project over five years. This screen will also present the totals that are planned to be available for major renovations, remodel and additions in each of the five years and compare that value with what has been selected as 'Funded' out of the project schedule. Users will use this screen to determine if the project schedule that has been developed is feasible or not.

| Field Name | Required | Description | Special Validation |
|---------------------|----------|--|--------------------|
| Funded | No | Denotes whether or not the project represented by that line is to be funded. | |
| Project Description | Yes | The description of the project. This field will be pulled in from the Five Year Survey system. | |
| Actual Budget | Yes | The amount planned to be spent on the project in the current year. | |
| Projected 1-4 | Yes | The amounts planned to be spent on the projected in the coming four years. | |

3.4 Additional Project Schedules

Address: http://doe-tapp01/EFISInternal/WorkPlan/ProjectSchedule/AdditionalProject.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT **Work Plan - Additional Project Schedules** User: EUS\Brian.Gouin [Edit Profile]

[Capacity Project Schedules \(2A\)](#) [Other Project Schedules \(2B\)](#) [Additional Project Schedules](#)

Additional Project Schedules ? [Export to Excel](#)

Mark As Complete

The "Additional Project Schedules" screen identifies planned development projects that will not be funded from available revenue sources during the five years covered in the workplan and any projects that are not identified in the last approved educational plant survey.

| | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|-----------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|-----------------|
| Net Available Revenue | \$42,132,556 | \$47,737,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,558,666 |
| Funded Project Cost | \$5,500 | \$5,000 | \$0 | \$0 | \$0 | \$10,500 |
| Work Plan Balance | \$42,127,056 | \$47,732,348 | \$48,519,867 | \$55,509,492 | \$63,659,403 | \$257,548,166 |

| Funded | Project Description | Number of Classrooms | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|--------------------------|--------------------------------------|-------------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|--------------|
| <input type="checkbox"/> | OAKLAND TERRACE ELEMENTARY aaa | 3 | \$5,000 | \$0 | \$0 | \$0 | \$0 | \$5,000 |
| <input type="checkbox"/> | PATTERSON ELEMENTARY test | 5 | \$1,000 | \$4,000 | \$0 | \$0 | \$0 | \$5,000 |
| | | | \$6,000 | \$4,000 | \$0 | \$0 | \$0 | \$10,000 |

[Add new project](#)

Schedule indicating which projects, due to planned development, that **CANNOT be funded** from current revenues projected over the next five years (Section 18C).

| Project Description | 2007-08 Actual Budget | 2008-09 Projected | 2009-10 Projected | 2010-11 Projected | 2011-12 Projected | 5 Year Total |
|---------------------|--------------------------|----------------------|----------------------|----------------------|----------------------|--------------|
| aaa | \$500 | \$0 | \$0 | \$0 | \$0 | \$500 |
| test | \$2 | \$1,000 | \$0 | \$0 | \$0 | \$1,002 |
| | \$502 | \$1,000 | \$0 | \$0 | \$0 | \$1,502 |

[Add new project](#)

This screen will allow the user to enter projects that can be funded in addition to Other project schedules.

| Field Name | Required | Description | Special Validation |
|----------------------|----------|--|--------------------|
| Funded | No | Denotes whether or not the project represented by that line is to be funded. | |
| Project Description | Yes | The description of the project. This field will be pulled in from the Five Year Survey system. | |
| Number of classrooms | Yes | The number of classrooms | |
| Actual Budget | Yes | The amount planned to be spent on the project in the current year. | |
| Projected 1-4 | Yes | The amounts planned to be spent on the projected in the coming four years. | |

4 - Tracking

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|------------------------------|--------|
| 1.4.1 | Net new classrooms | 4.6 |
| 1.4.5 | Relocatable Student Stations | 4.7 |
| 1.4.4 | Relocatable Replacement | 4.2 |
| 1.4.6 | Leased Facilities | 4.8 |
| 1.4.7 | Charter Schools | 4.3 |
| 1.4.8 | Infrastructure | 4.5 |
| 1.4.2 | Special Purposes classrooms | 4.4 |
| 1.4.10 | Capacity | 4.1 |
| 1.4.3 | Failed Standard Relocatable | 4.9 |

4.1 Projected Capacity COFTE (Section 3)

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Tracking/Capacity.aspx>

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Capacity Tracking

User: EUS\Brian.Gouin [Edit Profile]

Capacity (3, 11) Relocatable Replacement (7) Charter School (9) Special Purpose Classroom (3B, 3C) Infrastructure (4, 5) Net New Classrooms (3A) Relocatable Student Stations (12) Leased Facilities (8) Failed Standard Relocatables (6)

Capacity Tracking [?] Export to Excel

Mark As Complete

Locations, capacities, planned utilization rates, and average class size (5 years out) of current educational facilities of the district (permanent and relocatable) (Section 3). Average Class size (5 years out) that will result if the district facilities work plan is fully implemented (Section 11).

Filter: None

| Location | 2007-08 Satisfactory FISH Stu.Sta. | Actual 2007-08 FISH Capacity | Actual 2006-07 COFTE | # Class Rooms | Actual Average 2006-07 Class Size | Actual 2007-08 Utilization | New Stu. Capacity Added/Removed | New Rooms to be Added/Removed | Projected 2011-12 COFTE | Projected 2011-12 Utilization | Projected 2011-12 Class Size |
|-------------------------------|------------------------------------|------------------------------|----------------------|---------------|-----------------------------------|----------------------------|---------------------------------|-------------------------------|-------------------------|-------------------------------|------------------------------|
| A CRAWFORD MOSLEY SENIOR HIGH | 2,357 | 2,239 | 2,056.41 | 92 | 22 | 92.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| A D HARRIS SENIOR HIGH | 635 | 508 | 224.00 | 26 | 9 | 44.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| ARNOLD SENIOR HIGH | 1,946 | 1,849 | 1,367.90 | 76 | 18 | 74.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| BAY SENIOR HIGH | 1,930 | 1,834 | 1,319.54 | 75 | 18 | 72.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| BOZEMAN LEARNING CENTER | 1,483 | 1,335 | 1,202.17 | 66 | 18 | 90.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| CALLAWAY ELEMENTARY | 712 | 712 | 589.03 | 38 | 16 | 83.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| CEDAR GROVE ELEMENTARY | 682 | 682 | 537.08 | 37 | 15 | 79.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| EMERALD BAY ACADEMY | 302 | 302 | 291.70 | 13 | 22 | 97.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| EVERITT MIDDLE | 1,713 | 1,542 | 674.00 | 73 | 9 | 44.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| HILAND PARK ELEMENTARY | 932 | 932 | 840.64 | 49 | 17 | 90.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| HUTCHISON BEACH ELEMENTARY | 916 | 916 | 795.28 | 50 | 16 | 87.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| JINKS MIDDLE | 1,026 | 923 | 619.44 | 44 | 14 | 67.00 % | 0 | 0 | 0 | 0.00 % | 0 |
| LEASED | 0 | 0 | 0.00 | 0 | 0 | 0.00 % | 0 | 0 | 0 | 0.00 % | 0 |

...

The COFTE Projected Total (0) for 2011-12 year must match the Official Forecasted COFTE Total (24,674) for 2011-12 before this section can be completed. In the event that the COFTE Projected Total does not match the Balanced Projected COFTE Total should be filled out.

| Official Forecasted COFTE for 2011-12 | | Balanced Projected COFTE for 2011-12 | |
|---------------------------------------|---------------|--|--------------------------------|
| Elementary (PK-3) | 8,839 | Elementary (PK-3) | <input type="text" value="0"/> |
| Middle (4-8) | 9,267 | Middle (4-8) | <input type="text" value="0"/> |
| High (9-12) | 6,568 | High (9-12) | <input type="text" value="0"/> |
| Total: | 24,674 | Balanced Projected COFTE Total: | 0 |

This screen will allow users to both view the current station counts and capacities for each facility in their district as well as enter the capacity and rooms to be added or removed over the next five years. In addition, users will use this screen to specify how their 5 year projected COFTE will be broken down into each of their facilities.

| Field Name | Required | Description | Special Validation |
|------------------------------------|----------|---|--------------------|
| Location | Yes | The name of the facility. This field will be imported from FISH. | |
| Satisfactory FISH student stations | Yes | The number of satisfactory student stations that have been recorded in FISH for this facility. This field will be imported from FISH. | |
| Capacity | Yes | The actual capacity of the given facility. This field will be calculated from data provided by FISH. | |
| COFTE | Yes | The current COFTE that is being reported for this facility. This field will be imported from FISH. | |
| Utilization | Yes | This field is calculated. | |
| New Student Capacity | Yes | The amount of student capacity to be added or removed over the next five years. | |
| New rooms | Yes | The net number of rooms to be added or removed over the next five years. | |
| Projected COFTE | Yes | The amount of the district's total projected COFTE that is being allocated to this facility. | |
| Projected utilization | Yes | This field is calculated. | |
| Projected Average Class Size | Yes | This field is calculated. | |
| New Elementary (K-3) | Yes | The portion of the total projected COFTE that is being allocated to new elementary facilities not year appearing in FISH. | |
| New Middle (4-8) | Yes | The portion of the total projected COFTE that is being allocated to new middle school facilities not year appearing in FISH. | |
| New High (9-12) | Yes | The portion of the total projected COFTE that is being allocated to new high school facilities not year appearing in FISH. | |

4.2 New Classroom Tracking (Section 3A)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Tracking/NetNewClassrooms.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT Work Plan - Net New Classrooms User: EUS\Brian.Gouin [Edit Profile]

Capacity (3, 11) Relocatable Replacement (7) Charter School (9) Special Purpose Classroom (3B, 3C) Infrastructure (4, 5) Net New Classrooms (3A) Relocatable Student Stations (12) Leased Facilities (8) Failed Standard Relocatables (6)

Net New Classrooms [Export to Excel](#)

Mark As Complete

The "Net New Classrooms (Section 3A)" screen requires districts to report the number of classrooms, by grade level and type of construction, that were added during the last fiscal year. This screen also requires districts to report the number of classrooms, by grade level and type of construction, that will be added during the current fiscal year.

| Location | 2006-07 # Permanent | 2006-07 # Modular | 2006-07 # Relocatable | 2006-07 Total | 2007-08 # Permanent | 2007-08 # Modular | 2007-08 # Relocatable | 2007-08 Total |
|-------------------|--------------------------------|--------------------------------|--------------------------------|---------------|--------------------------------|--------------------------------|--------------------------------|---------------|
| Elementary (PK-3) | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| Middle (4-8) | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| High (9-12) | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |

This screen will allow users to enter counts for classrooms that were added last year in addition to classrooms that will be added next year.

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|---|--------------------|
| Grade level | Yes | Grade level of school classroom. This field is pre-defined. | |
| Last Year's permanent | Yes | The total number of permanent classrooms that were added last year. | |
| Last Year's modular | Yes | The total number of module classrooms that were added last year. | |
| Last Year's relocatable. | Yes | The total number of relocatable classrooms that were added last year. | |
| Total last year | Yes | This field is calculated. | |
| This year's permanent | Yes | The total number of permanent classrooms to be added next year. | |
| This year's modular | Yes | The total number of module classrooms to be added next year. | |
| This year's relocatable | Yes | The total number of relocatable classrooms to be added next year. | |
| Next Year's total | Yes | This field is calculated. | |

4.3 Special Classroom Counts Tracking (Section 3B, 3C)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Tracking/SpecialPurposeClassrooms.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT Work Plan - Special Purpose Classrooms Tracking User: EUS\Brian.Gouin [Edit Profile]

Capacity (3, 11) Relocatable Replacement (7) Charter School (9) Special Purpose Classroom (3B, 3C) Infrastructure (4, 5) Net New Classrooms (3A)
 Relocatable Student Stations (12) Leased Facilities (8) Failed Standard Relocatables (6)

Special Purpose Classrooms Tracking [Export to Excel](#)

Mark As Complete

The "Special Purpose Classrooms Tracking" screen reports the number of classrooms that will be used for certain special purposes in the current year, broken down by facility and type of classroom, that the district will, 1), not use for educational purposes, and 2), the co-teaching classrooms that are not open plan classrooms and will be used for educational purposes.

Select the Special Purpose Classroom Type: Educational (3B) Co-Teaching (3C)

Filter:

List the number of classrooms and type at each school you **do not intend to use or do not project will be needed for educational purposes** (Section 3B).

| School | Type | # of Elementary K-3 Classrooms | # of Middle 4-8 Classrooms | # of High 9-12 Classrooms | # of ESE Classrooms | # of Combo Classrooms | Total Educational Rooms |
|-------------------------------|-------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|-------------------------|
| A CRAWFORD MOSLEY SENIOR HIGH | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| A D HARRIS SENIOR HIGH | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| ARNOLD SENIOR HIGH | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| BAY SENIOR HIGH | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| BOZEMAN LEARNING CENTER | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| CALLAWAY ELEMENTARY | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| CEDAR GROVE ELEMENTARY | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| EMERALD BAY ACADEMY | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| EVERITT MIDDLE | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |
| HILAND PARK ELEMENTARY | Educational | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | 0 |

This screen will allow users to enter the number of classrooms that will be used for certain special purposes in the current year, broken down by facility and type of classroom that do not intend to be used for educational purposes and those which intend to be used for educational purposes.

| Field Name | Required | Description | Special Validation |
|------------------|----------|---|--------------------|
| School | Yes | The name of the facility. This field will be imported from FISH. | |
| Type | Yes | The type (Use Code) of the facility. This field will be imported from FISH. | |
| # of Elementary | Yes | The number of elementary classrooms to be used for non-educational purposes. | |
| # of Middle | Yes | The number of middle school classrooms to be used for non-educational purposes. | |
| # of High School | Yes | The number of high school classrooms to be used for non-educational purposes. | |
| # of ESE | Yes | The number of ESE classrooms to be used for non-educational purposes. | |
| # of Combo | Yes | The number of combination classrooms to be used for non-educational purposes. | |
| Total Classrooms | Yes | This field is calculated. | |

4.4 Failed Standard Relocatable Tracking (Section 6)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Tracking/FailedStandardsRelocatable.aspx

EFIS Home | FISH | Five Year Survey | Five Year Work Plan

Work Plan User Manual | Expenditure | Revenue | Project Schedules | Tracking | Planning | Long Range Planning | Submit Work Plan

Admin | Work Plan Sections | Additional Revenue Types | Maintenance Expenditure Types | State Expenditure Types | Local Expenditure Types | Fund Codes | Manage Work Plans | Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT | Work Plan - Failed Standard Relocatable Tracking | User: EUS\Brian.Gouin [Edit Profile]

Capacity (3, 11) | Relocatable Replacement (7) | Charter School (9) | Special Purpose Classroom (3B, 3C) | Infrastructure (4, 5) | Net New Classrooms (3A) | Relocatable Student Stations (12) | Leased Facilities (8) | Failed Standard Relocatables (6)

Failed Standard Relocatable Tracking [?] [Export to Excel](#)

Mark As Complete

The "Failed Standards Relocatable Tracking (Section 6)" screen shows users the relocatable units currently reported by school, from FISH, and the number of relocatable units identified as 'Failed Standards'. This screen prompts the user to enter relocatable classroom counts projected to be reported as 'Failed Standards' in the fifth year of the 5-year district facilities work program and also prompts the user to identify, by school, the year when relocatable units used for long term classroom needs will meet standards established for relocatable classrooms.

| Location | Actual Number of Units in 2007-08 | Owner | Student Stations | Number NOT meeting standards for use as classroom space | # of Units projected to be in use in 2011-12 | Projected (increase) /decrease in # of units by 2011-12 | Year in which all long term (4 yrs or more) relocatables which will be used as Classrooms will meet standards |
|---|-----------------------------------|--------------|------------------|---|--|---|---|
| CEDAR GROVE ELEMENTARY | 5 | SCHOOL BOARD | 18 | 3 | <input type="text" value="0"/> | -5 | <input type="text"/> |
| LYNN HAVEN ELEMENTARY | 22 | SCHOOL BOARD | 193 | 1 | <input type="text" value="0"/> | -22 | <input type="text"/> |
| MILLVILLE ELEMENTARY | 5 | SCHOOL BOARD | 40 | 1 | <input type="text" value="0"/> | -5 | <input type="text"/> |
| SURFSIDE MIDDLE | 11 | SCHOOL BOARD | 132 | 1 | <input type="text" value="0"/> | -11 | <input type="text"/> |
| PATTERSON ELEMENTARY | 2 | SCHOOL BOARD | 0 | 2 | <input type="text" value="0"/> | -2 | <input type="text"/> |
| NORTHSIDE ELEMENTARY | 11 | SCHOOL BOARD | 69 | 3 | <input type="text" value="0"/> | -11 | <input type="text"/> |
| TOM P HANEY VOCATIONAL-TECHNICAL CENTER | 7 | SCHOOL BOARD | 61 | 1 | <input type="text" value="0"/> | -7 | <input type="text"/> |
| | 63 | | 513 | 12 | 0 | -63 | |

This screen will allow users to view the relocatable units currently in FISH with an 'Failed Standard' condition code and enter counts projected to be 'Failed Standard' five years out as well as the year in which it's projected that all unsatisfactory relocatable units will be brought up to standards.

| Field Name | Required | Description | Special Validation |
|-----------------------------|----------|--|--------------------|
| Location | Yes | The name of the facility. This field will be imported from FISH. | |
| Actual number of units | Yes | The number of relocatable units currently reported as 'Unsatisfactory'. This field will be imported from FISH. | |
| Owner | Yes | The owner of the leased classrooms | |
| Student Stations | Yes | Student stations. This field will be imported from FISH. | |
| # not meeting standards | Yes | Number not meeting standards for use as classroom space. This field will be imported from FISH. | |
| # projected use in year 5 | Yes | Number of units projected to be in use in year 5 | |
| Projected increase/decrease | Yes | Projected increase/decrease of number of units by year 5. This field is calculated. | |
| Year meet standards | Yes | Year in which relocatable which will be used for classrooms will meet standards | |

4.5 Relocatable Replacement Tracking (Section 7)

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Tracking/RelocatableReplacement.aspx>

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT **Work Plan - Relocatable Replacement** **User: EUS\Brian.Gouin [Edit Profile]**

Capacity (3, 11) Relocatable Replacement (7) Charter School (9) Special Purpose Classroom (3B, 3C) Infrastructure (4, 5) Net New Classrooms (3A)

Relocatable Student Stations (12) Leased Facilities (8) Failed Standard Relocatables (6)

Relocatable Replacement [Export to Excel](#)

Mark As Complete

Number of relocatable classrooms clearly identified and scheduled for replacement in the school board adopted financially feasible 5-year district work program.

Filter:

| Location | 2007-08 | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 5 Year Total |
|-------------------------------|---------|---------|---------|---------|---------|--------------|
| A CRAWFORD MOSLEY SENIOR HIGH | 0 | 0 | 0 | 0 | 0 | 0 |
| A D HARRIS SENIOR HIGH | 0 | 0 | 0 | 0 | 0 | 0 |
| ARNOLD SENIOR HIGH | 0 | 0 | 0 | 0 | 0 | 0 |
| BAY SENIOR HIGH | 0 | 0 | 0 | 0 | 0 | 0 |
| BOZEMAN LEARNING CENTER | 0 | 0 | 0 | 0 | 0 | 0 |
| CALLAWAY ELEMENTARY | 0 | 0 | 0 | 0 | 0 | 0 |
| CEDAR GROVE ELEMENTARY | 0 | 0 | 0 | 0 | 0 | 0 |
| EMERALD BAY ACADEMY | 0 | 0 | 0 | 0 | 0 | 0 |
| EVERITT MIDDLE | 0 | 0 | 0 | 0 | 0 | 0 |

This screen will allow users to preview the number of relocatable classrooms identified and scheduled for replacement in the school board 5 years out.

| Field Name | Required | Description | Special Validation |
|-------------------|----------|--|--------------------|
| Filter | No | Filter out type of location | |
| Location | Yes | Location of facility. This field will be imported from FISH. | |
| # replaced year 2 | Yes | Number of units to be replaced in year 2. This field will be imported from FISH. | |
| # replaced year 3 | Yes | Number of units to be replaced in year 3. This field will be imported from FISH. | |
| # replaced year 4 | Yes | Number of units to be replaced in year 4. This field will be imported from FISH. | |
| # replaced year 5 | Yes | Number of units to be replaced in year 5. This field will be imported from FISH. | |
| 5 year total | Yes | 5 year Total Number of units to be replaced. This field is calculated. | |

4.6 Relocatable Student Station Tracking (Section 12)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Tracking/RelocatableStudentStations.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT **Work Plan - Relocatable Student Stations** **User: EUS\Brian.Gouin [Edit Profile]**

Capacity (3, 11) Relocatable Replacement (7) Charter School (9) Special Purpose Classroom (3B, 3C) Infrastructure (4, 5) Net New Classrooms (3A)
 Relocatable Student Stations (12) Leased Facilities (8) Failed Standard Relocatables (6)

Relocatable Student Stations [Export to Excel](#)

Mark As Complete

The "Relocatable Student Station Tracking (Section 12)" screen requires districts to enter the number of students that will be educated in relocatable units, by school, in the current year, and the projected number of students for each of the years in the workplan; a five-year average is calculated to determine the average number of students educated in relocatable classrooms.

Filter: Middle Schools

| Site | 2007-08 | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 5 Year Average |
|---|---------|---------|---------|---------|---------|----------------|
| EVERITT MIDDLE | 477 | 0 | 0 | 0 | 0 | 95 |
| JINKS MIDDLE | 0 | 0 | 0 | 0 | 0 | 0 |
| MERRITT BROWN MIDDLE | 132 | 0 | 0 | 0 | 0 | 26 |
| MOWAT MIDDLE | 22 | 0 | 0 | 0 | 0 | 4 |
| ROSENWALD MIDDLE | 81 | 0 | 0 | 0 | 0 | 16 |
| SURFSIDE MIDDLE | 242 | 0 | 0 | 0 | 0 | 48 |
| Totals for BAY COUNTY SCHOOL DISTRICT | | | | | | |
| Total students in relocatables by year. | 954 | 0 | 0 | 0 | 0 | 191 |
| Total number of COFTE students projected by year. | 24,370 | 24,190 | 24,150 | 24,426 | 24,674 | 24,362 |
| Percent in relocatables by year. | 4 % | 0 % | 0 % | 0 % | 0 % | 1 % |

This screen will allow users to enter the number of students that are projected to be educated in relocatable units in the current year and four years out for each facility within their district.

| Field Name | Required | Description | Special Validation |
|--------------------|----------|---|--------------------|
| Filter | No | Filter out type of site | |
| Site | Yes | Site of school. This field will be imported from FISH. | |
| Year 2 relocatable | Yes | Year 2 number of students projected to be in relocatables | |
| Year 3 relocatable | Yes | Year 3 number of students projected to be in relocatables | |
| Year 4 relocatable | Yes | Year 4 number of students projected to be in relocatables | |
| Year 5 relocatable | Yes | Year 5 number of students projected to be in relocatables | |
| 5 year average | No | 5 year average of students projected to be in relocatables | |
| Year 1 relocatable | Yes | Total Year 1 number of relocatables. This field will be imported from FISH. | |
| Year 2 relocatable | Yes | Total Year 2 number of relocatables This field will be imported from FISH. | |
| Year 3 relocatable | Yes | Total Year 3 number of relocatables. This field will be imported from FISH. | |
| Year 4 relocatable | Yes | Total Year 4 number of relocatables. This field will be imported from FISH. | |
| Year 5 relocatable | Yes | Total Year 5 number of relocatables. This field will be imported from FISH. | |
| 5 year average | No | Total 5 year average calculated | |

| | | | |
|----------------------|-----|--|--|
| Year 1 COFTE | Yes | Year 1 number of COFTE. This field will be imported from FISH. | |
| Year 2 COFTE | Yes | Year 2 number of COFTE. This field will be imported from FISH. | |
| Year 3 COFTE | Yes | Year 3 number of COFTE. This field will be imported from FISH. | |
| Year 4 COFTE | Yes | Year 4 number of COFTE. This field will be imported from FISH. | |
| Year 5 COFTE | Yes | Year 5 number of COFTE | |
| 5 year average COFTE | No | 5 year average COFTE calculated | |
| Year 1 % | Yes | Year 1 %. This field is calculated. | |
| Year 2 % | Yes | Year 2 %. This field is calculated. | |
| Year 3 % | Yes | Year 3 %. This field is calculated. | |
| Year 4 % | Yes | Year 4 %. This field is calculated. | |
| Year % | Yes | Year 5 %. This field is calculated. | |
| 5 year % | No | 5 year %. This field is calculated. | |

4.7 Lease Information Input (Section 8)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Tracking/LeasedFacilities.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT **Work Plan - Leased Facilities Tracking** **User: EUS\Brian.Gouin [Edit Profile]**

[Capacity \(3, 11\)](#) [Relocatable Replacement \(7\)](#) [Charter School \(9\)](#) [Special Purpose Classroom \(3B, 3C\)](#) [Infrastructure \(4, 5\)](#) [Net New Classrooms \(3A\)](#)
[Relocatable Student Stations \(12\)](#) [Leased Facilities \(8\)](#) [Failed Standard Relocatables \(6\)](#)

Leased Facilities Tracking [Export to Excel](#)

Mark As Complete

The "Leased Facility Tracking" screen allows districts to select from leased facilities currently in FISH and to report on plans for the acquisition of leased facilities, including the number of classrooms and student stations, as reported in the educational plant survey, that are planned in that location at the end of the five year workplan.

Existing Facilities (imported from FISH)

| Location | # of leased classrooms 2007-08 | FISH Stu.Sta. | Owner | # of leased classrooms 2011-12 | FISH Stu. Sta. |
|--|--------------------------------|---------------|-------|--------------------------------|----------------|
| Edit A CRAWFORD MOSLEY SENIOR HIGH | 24 | 300 | | 0 | 0 |
| Edit A D HARRIS SENIOR HIGH | 7 | 150 | | 0 | 0 |
| Edit BAY SENIOR HIGH | 9 | 175 | | 0 | 0 |
| Edit CALLAWAY ELEMENTARY | 8 | 72 | | 0 | 0 |
| Edit CEDAR GROVE ELEMENTARY | 2 | 18 | | 0 | 0 |
| Edit HILAND PARK ELEMENTARY | 8 | 84 | | 0 | 0 |
| Edit HUTCHISON BEACH ELEMENTARY | 18 | 162 | | 0 | 0 |
| Edit JINKS MIDDLE | 2 | 0 | | 0 | 0 |
| Edit LUCILLE MOORE ELEMENTARY | 6 | 51 | | 0 | 0 |
| Edit LYNN HAVEN ELEMENTARY | 14 | 122 | | 0 | 0 |
| Edit MARGARET K LEWIS SCHOOL | 10 | 42 | | 0 | 0 |
| Edit MERRITT BROWN MIDDLE | 14 | 132 | | 0 | 0 |
| Edit MOWAT MIDDLE | 2 | 22 | | 0 | 0 |
| Edit NEW HORIZONS CENTER | 36 | 367 | | 0 | 0 |
| Edit NORTHSIDE ELEMENTARY | 12 | 105 | | 0 | 0 |
| Edit PARKER ELEMENTARY | 2 | 18 | | 0 | 0 |
| Edit PATRONIS ELEMENTARY | 16 | 144 | | 0 | 0 |
| Edit ROSENWALD MIDDLE | 4 | 37 | | 0 | 0 |
| Edit RUTHERFORD SENIOR HIGH | 9 | 125 | | 0 | 0 |

This screen will allow users to select from leased buildings currently in FISH as well as plans for the creation of leased buildings in the Survey, the number of classrooms that are planned to be present in that location five years out and the number of student stations planned to be housed in that location five years out.

| Field Name | Required | Description | Special Validation |
|---------------------|----------|---|--------------------|
| Location | Yes | Location. This field will be imported from FISH. | |
| # leased classrooms | Yes | Number of leased classrooms in current year. This field will be imported from FISH. | |
| Owner | Yes | Owner | |
| Stu sta | Yes | FISH student stations relocatable | |
| # leased year 5 | Yes | Number leased in year | |
| Stu sta | Yes | FISH student stations permanent | |

4.8 Charter Schools Tracking (Section 9)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Tracking/CharterSchools.aspx

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Charter Schools Tracking

User: EUS\Brian.Gouin [Edit Profile]

Capacity (3, 11) Relocatable Replacement (7) Charter School (9) Special Purpose Classroom (3B, 3C) Infrastructure (4, 5) Net New Classrooms (3A)

Relocatable Student Stations (12) Leased Facilities (8) Failed Standard Relocatables (6)

Charter Schools Tracking [Export to Excel](#)

Mark As Complete

The "Charter School Tracking" screen allows district to enter information regarding the use of charter schools within their district. The information includes the location of the school, the type of the school, the number of classrooms, the owner of the school, and other enrollment related questions for both the current year and five years covered by the workplan.

| Location-Type | # relocatable units or permanent classrooms | Owner | Year Started or Scheduled | Student Stations | Students Enrolled | Years in Contract | Total charter students projected for 2011-12 |
|---|---|---|---------------------------|--------------------------------|--------------------------------|--------------------------------|--|
| Delete <input type="text"/> | <input type="text" value="0"/> | RENTED RELOCATABLE <input type="text"/> | <input type="text"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |

[Add New Record](#)

This screen will allow users to enter information regarding the use of charter schools within their district including the location of the school, the type of the school, the number of classrooms, the owner of the school and other various enrollment related questions for both the current year and five years out.

| Field Name | Required | Description | Special Validation |
|------------------------|----------|---|--------------------|
| Location-type | Yes | Location or type of charter school | |
| # reloc or perm | Yes | Number of relocatable or permanent classrooms | |
| Owner | Yes | Owner | |
| Year started | Yes | Year started of scheduled to start | |
| Stu sta | Yes | Number of student stations | |
| Stu enroll | Yes | Number of students enrolled | |
| Years in contract | Yes | Number of years in contract | |
| Total projected year 5 | Yes | Total charter students projected for year 5 | |

4.9 Infrastructure Tracking (Section 4, 5)

This screen will allow users to enter a text description of necessary offsite infrastructure requirements resulting from expansions or new schools. It will also allow users to enter text for proposed location of planned facilities. The user is prompted to check whether the plan is consistent with the comp plan.

| Field Name | Required | Description | Special Validation |
|----------------|----------|--|--------------------|
| Text narrative | Yes | Description of infrastructure | |
| Text narrative | Yes | Description of plans | |
| Checkbox | Yes | Consistent with the Comprehensive Plan | |

5 - Planning

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---|--------|
| 1.5.1 | Plans described that district has for reducing need for permanent student stations | 5.1 |
| 1.5.2 | Plans described that district has for closing schools and the disposition of the facility | 5.2 |

5.1 Plan Class size Reduction (Section 10)

This screen will allow users to enter a narrative description of plans that the district has for the overall reduction of the permanent student stations over the next five years.

| Field Name | Required | Description | Special Validation |
|----------------|----------|--------------------------|--------------------|
| Text narrative | Yes | Description of the plans | |

5.2 Plan for School Closure (Section 13)

This screen will allow users to enter a narrative description of plans that the district has to close schools over the next five years.

| Field Name | Required | Description | Special Validation |
|----------------|----------|-----------------------------|--------------------|
| Text narrative | Yes | Plans for closure of school | |

6 - Long Range Planning

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|--|--------|
| 1.6.1.1.1 | Major repair and renovation projects for ten and twenty years out | 6.1 |
| 1.6.1.1.2 | Capital outlay projects for ten and twenty years out | 6.2 |
| 1.6.1.2 | Capacity tracking for each facility for ten and twenty years out | 6.3 |
| 1.6.1.3 | Planned, new remodeled or additions to facilities for ten and twenty years out | 6.4 |
| 1.6.1.4 | Plans for closure of any school for ten and twenty years out | 6.4 |

6.1 Ten Year Maintenance Schedule and Repair (Section 20)

Address: http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TenYearMaintenance.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
 Work Plan - Ten Year Maintenance
 User: EUS\Brian.Gouin [Edit Profile]

[Ten-Year Maintenance and Repair \(20\)](#) [Ten-Year Capacity \(21\)](#) [Ten-Year Planned Utilization \(22\)](#) [Ten-Year Infrastructure Planning \(23, 24\)](#) [Twenty-Year Maintenance and Repair \(25\)](#) [Twenty-Year Capacity \(26\)](#) [Twenty-Year Planned Utilization \(27\)](#) [Twenty-Year Infrastructure Planning \(28, 29\)](#)

Ten Year Maintenance [Export to Excel](#)

Mark As Complete

The "Ten Year Maintenance and Repair (20)" screen identifies district projects and locations regarding the projected need for major renovation, repair, and maintenance projects within their district in years 6-10 beyond the projects plans detailed in the five years covered by the work plan. This screen also allows districts to enter a schedule of capital outlay projects projected to ensure the availability of satisfactory student stations for the 5-year span immediately beyond the plans contained in the five-year work program. This screen allows users to enter locations, capacities, and planned utilization rates of future educational facilities in the district, and collects information regarding the projected need for major renovation, repair, and maintenance projects for years 6-10 beyond the plans detailed in the work plan.

| Location | Project | 2011-12 / 2016-17 Projected Cost |
|--|----------|----------------------------------|
| Delete 5 Facilities | new roof | \$50,000 |
| Delete 6 Facilities | New Test | \$40,000 |
| Delete Choose Facilities | | \$0 |
| | | \$90,000 |

[Add New Record](#)

This screen will allow users to enter information regarding the projected need for major renovation, repair, and maintenance projects within their district in years 6-10 beyond the plans detailed in the work plan.

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|-----------------------|--------------------|
| Project | Yes | Project name | |
| Location | Yes | Location | |
| Five year projected cost | Yes | 5 year projected cost | |

6.2 Ten Year Capacity (Section 21)

Address: http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TenYearCapacity.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: **2007 - 2008 BAY COUNTY SCHOOL DISTRICT** **Work Plan - Ten Year Capacity** User: EUS\Brian.Gouin [Edit Profile]

[Ten-Year Maintenance and Repair \(20\)](#) [Ten-Year Capacity \(21\)](#) [Ten-Year Planned Utilization \(22\)](#) [Ten-Year Infrastructure Planning \(23, 24\)](#) [Twenty-Year Maintenance and Repair \(25\)](#) [Twenty-Year Capacity \(26\)](#) [Twenty-Year Planned Utilization \(27\)](#) [Twenty-Year Infrastructure Planning \(28, 29\)](#)

Ten Year Capacity [Export to Excel](#)

Mark As Complete

The "Ten Year Capacity (21)" screen is a schedule of capital outlay projects projected to ensure the availability of satisfactory student stations for the projected student enrollment in K-12 programs for the future 5 years beyond the 5-year district facilities work program.

| Project | Location, Community, Quadrant or other general location | 2011-12 / 2016-17 Projected Cost |
|-------------------------------|---|----------------------------------|
| Delete test | some school | \$50,000 |
| Delete Test#2 | sample school | \$10,000 |
| Delete | | \$0 |
| Totals: | | \$60,000 |

[Add New Record](#)

This screen will allow users to enter a schedule of capital outlay projects projected to ensure the availability of satisfactory student stations for 5 years out.

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|--|--------------------|
| Project | Yes | Project name | |
| Location/comm./quadrant | Yes | Location, community quadrant or other general location | |
| Five year projected cost | Yes | 5 year projected cost | |

6.3 Ten Year Planned Utilization (Section 22)

Address: http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TenYearUtilization.aspx

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Ten Year Utilization

User: EUS\Brian.Gouin [Edit Profile]

[Ten-Year Maintenance and Repair \(20\)](#) [Ten-Year Capacity \(21\)](#) [Ten-Year Planned Utilization \(22\)](#) [Ten-Year Infrastructure Planning \(23, 24\)](#) [Twenty-Year Maintenance and Repair \(25\)](#) [Twenty-Year Capacity \(26\)](#) [Twenty-Year Planned Utilization \(27\)](#) [Twenty-Year Infrastructure Planning \(28, 29\)](#)

Ten Year Utilization [Export to Excel](#)

Mark As Complete

The "Ten Year Planned Utilization (22)" screen is a schedule of planned capital outlay projects identifying the standard grade groupings, capacities, and planned utilization rates of future educational facilities of the district for both permanent and relocatable facilities.

| Grade Level Projections | FISH Stu. Sta. | Actual 2006-07 FISH Capacity | Actual 2006-07 COFTE | Actual 2006-07 Utilization | Actual 2007-08 / 2016-17 new Stu. Capacity to be added or removed | Projected 2016-17 COFTE | Projected 2016-17 Utilization |
|------------------------------|----------------|------------------------------|----------------------|----------------------------|---|-------------------------|-------------------------------|
| Elementary - District Totals | 14,167 | 14,276 | 11,240.99 | 78.74 % | 0 | 0 | 0.00 % |
| Middle - District Totals | 7,130 | 6,437 | 4,945.27 | 76.83 % | 0 | 0 | 0.00 % |
| High - District Totals | 10,821 | 10,246 | 7,800.97 | 76.14 % | 0 | 0 | 0.00 % |
| Other - ESE, etc | 2,332 | 2,645 | 836.02 | 31.61 % | 0 | 0 | 0.00 % |
| Totals: | 34,450 | 33,604 | 24,823 | 73.87 % | 0 | 0 | 0.00 % |

Save

This screen will allow users to enter information regarding the projected need for major renovation, repair, and maintenance projects within their district in years 6-10 beyond the plans detailed in the work plan.

| Field Name | Required | Description | Special Validation |
|----------------------|----------|---|--------------------|
| Grade level | Yes | FISH Grade level of Project | |
| Stu stations | Yes | FISH student stations. This field will be imported from FISH. | |
| FISH capacity | Yes | FISH capacity. This field will be imported from FISH. | |
| COFTE | Yes | Actual COFTE from EDR | |
| Utilizations % | No | Calculated | |
| New Capacity | Yes | New capacity to be added/removed | |
| Projected COFTE | Yes | Projected COFTE | |
| Projected Utilizat % | No | Calculated | |

6.4 Ten Year Infrastructure Planning (Section 23, 24)

Address: http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TenYearInfrastructure.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Ten Year Infrastructure

User: EUS\Brian.Gouin [Edit Profile]

Ten-Year Maintenance and Repair (20) Ten-Year Capacity (21) Ten-Year Planned Utilization (22) Ten-Year Infrastructure Planning (23, 24) Twenty-Year Maintenance and Repair (25) Twenty-Year Capacity (26) Twenty-Year Planned Utilization (27) Twenty-Year Infrastructure Planning (28, 29)

Ten Year Infrastructure [Export to Excel](#)

Mark As Complete

The "Ten Year Infrastructure Planning (23, 24)" screen is a text description of infrastructure needs in years 6 through 10 beyond the 5-year district facilities work program.

Proposed Location of Planned New, Remodeled, or New Additions to Facilities in the 6 thru 10 out years (Section 23).

Test

Plans for closure of any school, including plans for disposition of the facility or usage of facility space, and anticipated revenues in the 6 thru 10 out years (Section 24).

Test

Save

This screen will allow users to enter information regarding the proposed Location of Planned New, remodeled, or new additions to Facilities in 11 thru 20 years out. It also allows Plans for closure of any school and anticipated revenues in the 11 thru 20 years out.

| Field Name | Required | Description | Special Validation |
|-------------|----------|-------------|--------------------|
| Description | Yes | Description | |
| Description | Yes | Description | |

6.5 Twenty Year Plan Maintenance and repair (Section 25)

Address: http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TwentyYearMaintenance.aspx

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT **Work Plan - Twenty Year Maintenance** **User: EUS\Brian.Gouin [Edit Profile]**

[Ten-Year Maintenance and Repair \(20\)](#) [Ten-Year Capacity \(21\)](#) [Ten-Year Planned Utilization \(22\)](#) [Ten-Year Infrastructure Planning \(23, 24\)](#) [Twenty-Year Maintenance and Repair \(25\)](#) [Twenty-Year Capacity \(26\)](#) [Twenty-Year Planned Utilization \(27\)](#) [Twenty-Year Infrastructure Planning \(28, 29\)](#)

Twenty Year Maintenance [Export to Excel](#)

Mark As Complete

The "Twenty Year Maintenance and Repair (25)" screen identifies district projects and locations regarding the projected need for major renovation, repair, and maintenance projects within their district in years 11-20 beyond the projects plans detailed in the five years covered by the work plan. This screen also allows districts to enter a schedule of capital outlay projects projected to ensure the availability of satisfactory student stations beyond the plans contained in the five-year work program. This screen allows users to enter locations, capacities, and planned utilization rates of future educational facilities in the district, and collects information regarding the projected need for major renovation, repair, and maintenance projects for years 11-20 beyond the plans detailed in the work plan.

| Location | Project | 2016-17 / 2026-27 Projected Cost |
|--|---------|----------------------------------|
| Delete 3 Facilities | Test | \$12,000 |
| Delete Choose Facilities | | \$0 |
| | | \$12,000 |

[Add New Record](#)

This screen will allow users to input data regarding plans for twenty years out from the current work plan's year.

| Field Name | Required | Description | Special Validation |
|------------|----------|--------------|--------------------|
| Project | Yes | Project name | |
| Location | Yes | Location | |

6.6 Twenty Year Capacity (Section 21)

Address: <http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TwentyYearCapacity.aspx>

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Twenty Year Capacity

User: EUS\Brian.Gouin [\[Edit Profile\]](#)

[Ten-Year Maintenance and Repair \(20\)](#) [Ten-Year Capacity \(21\)](#) [Ten-Year Planned Utilization \(22\)](#) [Ten-Year Infrastructure Planning \(23, 24\)](#) [Twenty-Year Maintenance and Repair \(25\)](#) [Twenty-Year Capacity \(26\)](#) [Twenty-Year Planned Utilization \(27\)](#) [Twenty-Year Infrastructure Planning \(28, 29\)](#)

Twenty Year Capacity [Export to Excel](#)

Mark As Complete

The "Twenty Year Capacity (26)" screen is a schedule of capital outlay projects projected to ensure the availability of satisfactory student stations for the projected student enrollment in K-12 programs for the future 11-20 years beyond the 5-year district facilities work program.

| Project | Location, Community, Quadrant or other general location | 2016-17 / 2026-27 Projected Cost |
|-------------------------------|---|----------------------------------|
| Delete Test | Test | \$10,000 |
| Delete Test#2 | Test#2 | \$5,000 |
| Totals: | | \$15,000 |

[Add New Record](#)

This screen will allow users to enter a schedule of capital outlay projects projected to ensure the availability of satisfactory student stations for 10 years out.

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|--|--------------------|
| Project | Yes | Project name | |
| Location/comm./quadrant | Yes | Location, community quadrant or other general location | |
| Five year projected cost | Yes | 5 year projected cost | |

6.7 Twenty Year Utilization (Section 27)

Address: http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TwentyYearUtilization.aspx

EFIS Home
 FISH
 Five Year Survey
 Five Year Work Plan
 Work Plan User Manual
 Expenditure
 Revenue
 Project Schedules
 Tracking
 Planning
 Long Range Planning
 Submit Work Plan
 Admin
 Work Plan Sections
 Additional Revenue Types
 Maintenance Expenditure Types
 State Expenditure Types
 Local Expenditure Types
 Fund Codes
 Manage Work Plans
 Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT **Work Plan - Twenty Year Utilization** **User: EUS\Brian.Gouin [Edit Profile]**

[Ten-Year Maintenance and Repair \(20\)](#) [Ten-Year Capacity \(21\)](#) [Ten-Year Planned Utilization \(22\)](#) [Ten-Year Infrastructure Planning \(23, 24\)](#) [Twenty-Year Maintenance and Repair \(25\)](#) [Twenty-Year Capacity \(26\)](#) [Twenty-Year Planned Utilization \(27\)](#) [Twenty-Year Infrastructure Planning \(28, 29\)](#)

Twenty Year Utilization [Export to Excel](#)

Mark As Complete

The "Twenty Year Planned Utilization (27)" screen is a schedule of planned capital outlay projects identifying the standard grade groupings, capacities, and planned utilization rates of future educational facilities of the district for both permanent and relocatable facilities.

| Grade Level Projections | FISH Stu. Sta. | Actual 2006-07 FISH Capacity | Actual 2006-07 COFTE | Actual 2006-07 Utilization | Actual 2007-08 / 2026-27 new Stu. Capacity to be added or removed | Projected 2026-27 COFTE | Projected 2026-27 Utilization |
|------------------------------|----------------|------------------------------|----------------------|----------------------------|---|--------------------------------|-------------------------------|
| Elementary - District Totals | 14,167 | 14,276 | 11,240.99 | 78.74 % | <input type="text" value="0"/> | <input type="text" value="0"/> | 0.00 % |
| Middle - District Totals | 7,130 | 6,437 | 4,945.27 | 76.83 % | <input type="text" value="0"/> | <input type="text" value="0"/> | 0.00 % |
| High - District Totals | 10,821 | 10,246 | 7,800.97 | 76.14 % | <input type="text" value="0"/> | <input type="text" value="0"/> | 0.00 % |
| Other - ESE, etc | 2,332 | 2,645 | 836.02 | 31.61 % | <input type="text" value="0"/> | <input type="text" value="0"/> | 0.00 % |
| Totals: | 34,450 | 33,604 | 24,823 | 73.87 % | 0 | 0 | 0.00 % |

This screen will allow users to input data regarding plans for twenty years out from the current work plan's year.

| Field Name | Required | Description | Special Validation |
|----------------------|----------|---|--------------------|
| Grade level | Yes | FISH Grade level of Project | |
| Stu stations | Yes | FISH student stations. This field will be imported from FISH. | |
| FISH capacity | Yes | FISH capacity. This field will be imported from FISH. | |
| COFTE | Yes | Actual COFTE from EDR | |
| Utilizations % | No | Calculated | |
| New Capacity | Yes | New capacity to be added/removed | |
| Projected COFTE | Yes | Projected COFTE | |
| Projected Utilizat % | No | Calculated | |

6.8 Twenty Year Infrastructure Planning (Section 23, 24)

Address: http://doe-tapp01/EFISInternal/WorkPlan/LongRangePlanning/TwentyYearInfrastructure.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT Work Plan - Twenty Year Infrastructure User: EUS\Brian.Gouin [Edit Profile]

Ten-Year Maintenance and Repair (20) Ten-Year Capacity (21) Ten-Year Planned Utilization (22) Ten-Year Infrastructure Planning (23, 24) Twenty-Year Maintenance and Repair (25) Twenty-Year Capacity (26) Twenty-Year Planned Utilization (27) Twenty-Year Infrastructure Planning (28, 29)

Twenty Year Infrastructure [Export to Excel](#)

Mark As Complete

The "Twenty Year Infrastructure Planning (28, 29)" screen is a text description of infrastructure needs in years 11 through 20 beyond the 5-year district facilities work program.

Proposed Location of Planned New, Remodeled, or New Additions to Facilities in the 11 through 20 out years (Section 28).

Plans for closure of any school, including plans for disposition of the facility or usage of facility space, and anticipated revenues in the 11 through 20 out years (Section 29).

Save

This screen will allow users to enter information regarding the proposed Location of Planned New, remodeled, or new additions to Facilities in 11 thru 20 years out. It also allows Plans for closure of any school and anticipated revenues in the 11 thru 20 years out.

| Field Name | Required | Description | Special Validation |
|-------------|----------|-------------|--------------------|
| Description | Yes | Description | |
| Description | Yes | Description | |

7 - Administrative Functionality

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|--|-------------|
| 1.7.2 | Edit work plan sections for all districts | 7.1 |
| 1.7.7.1 | Super user can edit and assign revenue items, expenditure items, fund codes. | 7.2,3,4,5,6 |
| 1.7.3 | Manage district work plans | 7.7 |
| 1.7.7.1 | Review work plan | 7.8 |

7.1 Work Plan Sections

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/WorkPlanSections.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Work Plan Sections

User: EUS\Brian.Gouin [Edit Profile]

Work Plan Sections ?

Use the 'Edit' link below to edit the status and instructional text, and display name of the work plan section.

| ID | Section Name | Status |
|------------------------|----------------------|---------|
| Edit 1 | Landing Page | Default |
| Edit 2 | Submit Work Plan | Active |
| Edit 3 | Past Work Plans | Active |
| Edit 4 | Revenue Landing | Active |
| Edit 5 | 2-Mill Revenue (16) | Active |
| Edit 6 | PECO Revenue (16) | Active |
| Edit 7 | CO & DS Revenue (16) | Active |

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/WorkPlanSections.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Work Plan Sections

User: EUS\Brian.Gouin [Edit Profile]

Edit Section

Section Name: *

Instructional Text:

Status:

This screen will allow users to Edit any section of the work plan before final submission.

| Field Name | Required | Description | Special Validation |
|--------------|----------|--------------------|--------------------|
| Section Name | Yes | Section name | |
| Text box | Yes | Instructional text | |
| Status | Yes | Status of section | |

7.2 Additional Revenue Types

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Admin/AdditionalRevenueTypes.aspx>

EFIS Home
FISH
Five Year Survey
Five Year Work Plan

Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan

Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: [2007 - 2008 BAY COUNTY SCHOOL DISTRICT](#) Work Plan - Additional Revenue Types User: EUS\Brian.Gouin [\[Edit Profile\]](#)

Additional Revenue Types ?

Use the 'Edit' link below to change status, fund code, and name of the 'Additional Revenue' type.

| ID | Fund | Name | Status |
|----------------------------|------|---|--------|
| Edit 10 | | Classrooms First Bond proceeds amount authorized in FY 1997-98 | Active |
| Edit 12 | | Classrooms for Kids | Active |
| Edit 2 360 | | District Bonds - Voted local bond referendum proceeds per s.9, Art VII State Constitution | Active |
| Edit 13 | | District Equity Recognition | Active |
| Edit 11 | | Effort Index Grants | Active |
| Edit 4 310 | | Estimated Revenue from CO & DS Bond Sale | Active |
| Edit 14 | | Federal Grants | Active |

[Add New Additional Revenue Type](#)

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Admin/AdditionalRevenueTypes.aspx>

EFIS Home
FISH
Five Year Survey
Five Year Work Plan

Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan

Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: [2007 - 2008 BAY COUNTY SCHOOL DISTRICT](#) Work Plan - Additional Revenue Types User: EUS\Brian.Gouin [\[Edit Profile\]](#)

Edit Revenue Type

Type Name: *

Type Description: *

Fund Code:

Status:

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/AdditionalRevenueTypes.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT
Work Plan - Additional Revenue Types
User: EUS\Brian.Gouin [Edit Profile]

Edit Revenue Type

Type Name: * District Bonds - Voted local bond referendur
Type Description: * Tag Money
Fund Code: 360
Status: Active

Save Cancel

Users will use this screen to view Additional revenue types. The superuser can add new Revenue types.

| Field Name | Required | Description | Special Validation |
|------------------|----------|------------------------|--------------------|
| Type Name | Yes | Revenue type name | |
| Type Description | Yes | Description of revenue | |
| Fund Code | Yes | Fund code | |
| Status | Yes | Status of revenue | |

7.3 Maintenance Expenditure Types

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/MaintenanceExpenditureTypes.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: [2007 - 2008 BAY COUNTY SCHOOL DISTRICT](#) Work Plan - Maintenance Expenditure Types User: EUS\Brian.Gouin [\[Edit Profile\]](#)

Maintenance Expenditure Types ?

Use the 'Edit' link below to change status, fund code, and name of the 'Maintenance Expenditure' type.

| | ID | Name | Status |
|----------------------|----|---------------------------|---------|
| Edit | 10 | Closed Circuit Television | Active |
| Edit | 7 | Electrical | Active |
| Edit | 5 | Fencing | Active |
| Edit | 8 | Fire Alarm | Active |
| Edit | 2 | Flooring | Active |
| Edit | 1 | HVAC | Default |
| Edit | 11 | Paint | Active |
| ... | - | - | ... |

[Add New Maintenance Expenditure Type](#)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/MaintenanceExpenditureTypes.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan
Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan
Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: [2007 - 2008 BAY COUNTY SCHOOL DISTRICT](#) Work Plan - Maintenance Expenditure Types User: EUS\Brian.Gouin [\[Edit Profile\]](#)

Edit Expenditure Type

Type Name: *

Type Description:

Status:

This screen will allow system administrators to add and edit expenditures that will appear in the current work plan's Expenditures screens for district users to fill out.

| Field Name | Required | Description | Special Validation |
|------------------|----------|-----------------------|--------------------|
| Type Name | Yes | Name of expenditure | |
| Type Description | Yes | Description | |
| Status | Yes | Status of expenditure | |

7.4 Maintaining State Expenditure Items

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/StateExpenditureTypes.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - State Expenditure Types

User: EUS\Brian.Gouin [Edit Profile]

State Expenditure Types ?

Use the 'Edit' link below to change status, fund code, and name of the 'State Expenditure' type.

| ID | Name | Status |
|------------------------|---|--------|
| Edit 1 | PECO Used for Maintenance, Repair, and Renovation | Active |

[Add New State Expenditure Type](#)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/StateExpenditureTypes.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - State Expenditure Types

User: EUS\Brian.Gouin [Edit Profile]

Edit Expenditure Type

Type Name: * PECO Used for Maintenan

Type Description: Amount used for maintenance/repair/renovation projects.

Status: Active

This screen will allow system administrators to add and edit general expenditure categories that will be presented on the 'State' expenditure screens for district users to fill out.

| Field Name | Required | Description | Special Validation |
|------------------|----------|-----------------------|--------------------|
| Type name | Yes | Type of expenditure | |
| Type description | Yes | Description | |
| Status | Yes | Status of expenditure | |

7.5 Local Expenditures Types

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Admin/LocalExpenditureTypes.aspx>

Current Work Plan: **2007 - 2008 BAY COUNTY SCHOOL DISTRICT** Work Plan - Local Expenditure Types User: EUS\Brian.Gouin [Edit Profile]

Local Expenditure Types ?

Use the 'Edit' link below to change status, fund code, and name of the 'Local Expenditure' type.

| | ID | Name | Status |
|----------------------|----|---|---------|
| Edit | 5 | Capital Outlay Equipment | Active |
| Edit | 7 | COP Debt Service | Active |
| Edit | 9 | Environmental Problems | Active |
| Edit | 2 | Maintenance/Repair Salaries | Active |
| Edit | 1 | Minor Maintenance/Repair | Default |
| Edit | 12 | One Cent - 1/2 Cent Sales Surtax Debt Service | Active |
| Edit | 4 | Other Vehicle Purchases | Active |

[Add New Local Expenditure Type](#)

Address: <http://doe-tapp01/EFISInternal/WorkPlan/Admin/LocalExpenditureTypes.aspx>

Current Work Plan: **2007 - 2008 BAY COUNTY SCHOOL DISTRICT** Work Plan - Local Expenditure Types User: EUS\Brian.Gouin [Edit Profile]

Edit Expenditure Type

Type Name: *

Type Description:

Status:

This screen will allow system administrators to define the “Local” expenditure categories.

| Field Name | Required | Description | Special Validation |
|------------------|----------|-----------------------|--------------------|
| Type name | Yes | Name of expenditure | |
| Type description | Yes | Description | |
| Status | Yes | Status of expenditure | |

7.6 Fund Codes Section

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/FundCodes.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Fund Codes Types

User: EUS\Brian.Gouin [Edit Profile]

Fund Codes ?

Use the 'Edit' link below to change status, fund code, and name of the 'Local Expenditure' type.

| | Code | Description | Status |
|----------------------|------|-------------|--------|
| Edit | 310 | 310 | Active |
| Edit | 320 | 320 | Active |
| Edit | 330 | 330 | Active |
| Edit | 340 | 340 | Active |
| Edit | 350 | 350 | Active |
| Edit | 360 | 360 | Active |
| Edit | 370 | 370 | Active |
| | --- | --- | |

[Add New Fund Code](#)

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/FundCodes.aspx

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Fund Codes Types

User: EUS\Brian.Gouin [Edit Profile]

Edit Fund Code

Code: *

Description:

Status:

This screen will allow system administrators to maintain the Fund Codes for each work plan section.

| Field Name | Required | Description | Special Validation |
|-------------|----------|---------------------|--------------------|
| Code | Yes | Fund code | |
| Description | Yes | Description | |
| Status | Yes | Status of fund code | |

7.7 Manage Work Plans

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/ManageWorkPlans.aspx

EFIS Home
FISH
Five Year Survey
Five Year Work Plan

Work Plan User Manual
Expenditure
Revenue
Project Schedules
Tracking
Planning
Long Range Planning
Submit Work Plan

Admin
Work Plan Sections
Additional Revenue Types
Maintenance Expenditure Types
State Expenditure Types
Local Expenditure Types
Fund Codes
Manage Work Plans
Review Work Plans

Current Work Plan: **2007 - 2008 BAY COUNTY SCHOOL DISTRICT** Work Plan - Manage Work Plans User: EUS\Brian.Gouin [Edit Profile]

Pending Work Plans ?

Pending work plans are those that have been created, but are not yet open and available for editing by district users. You can use this screen to create a new set of pending work plans for the upcoming year, and also take any work plans that are currently pending and open them for editing by district users. Only one set of work plans can be pending at a time, and those work plans must have all of their external data loaded before they can be opened for editing.

No work plans are currently pending.

Open Work Plans

Open work plans are currently available for editing by district users. Open work plans can also be reviewed by OEF staff through this website interface. Only one set of work plans can be open at a time, and these work plans must have their reports generated and saved before they can be archived.

The 2007 - 2008 work plans are currently open, but have not yet had their reports generated. You must generate the reports for all of the open work plans before archiving them.

This screen will allow system administrators to view pending work plans that are in progress and archive existing work plans

| Field Name | Required | Description | Special Validation |
|----------------------------|----------|---|--------------------|
| Open the current work plan | Yes | Super User will click button to view the district work plan | |
| Archive work plan | Yes | Super User will click button to archive the work plan | |

7.8 Review Work Plans

Address: http://doe-tapp01/EFISInternal/WorkPlan/Admin/ReviewWorkPlans.aspx

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Review Work Plans

User: EUS\Brian.Gouin [Edit Profile]

Review Work Plans ?

Below is a list of all work plans that are currently open for editing. You may use the 'Select' links to load a work plan to view in the other sections of this website. Additionally, you may use the checkboxes to select one or more work plans and mark them as 'Reviewed'.

The following are open for editing.

| <input type="checkbox"/> | District | Current Status | Status Date |
|--|---------------------------------|----------------|-------------|
| <input checked="" type="checkbox"/> Select 1 | ALACHUA COUNTY SCHOOL DISTRICT | Reviewed | 9/18/2007 |
| <input checked="" type="checkbox"/> Select 2 | BAKER COUNTY SCHOOL DISTRICT | Reviewed | 10/10/2007 |
| <input type="checkbox"/> Select 3 | BAY COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 4 | BRADFORD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| | BREVARD COUNTY SCHOOL DISTRICT | | |

This screen will allow system administrators to view the current year's work plans for each district.

| Field Name | Required | Description | Special Validation |
|----------------------------|----------|--|--------------------|
| Mark work plan as reviewed | yes | Super User will click button to mark the work plan as reviewed | |

7.9 Submit Work Plan

Address: http://doe-tapp01/EFISInternal/WorkPlan/SubmitWorkPlan.aspx

EFIS Home

FISH

Five Year Survey

Five Year Work Plan

Work Plan User Manual

Expenditure

Revenue

Project Schedules

Tracking

Planning

Long Range Planning

Submit Work Plan

Admin

Work Plan Sections

Additional Revenue Types

Maintenance Expenditure Types

State Expenditure Types

Local Expenditure Types

Fund Codes

Manage Work Plans

Review Work Plans

Current Work Plan: 2007 - 2008 BAY COUNTY SCHOOL DISTRICT

Work Plan - Submit Work Plan

User: EUS\Brian.Gouin [Edit Profile]

Submit Work Plan [?] Print Work Plan

The "Save and Submit WorkPlan" screen requires districts to enter all administrative and contact information before submitting the workplan for OEF review and approval.

Check for Completed Work Plan Sections

| Section Name |
|--|
| 2-Mill Revenue (16) |
| PECO Revenue (15) |
| QQ & DS Revenue (16) |
| Fair Share Revenue (5A) |
| Sales Surtax Revenue (19A, 19B) |
| Additional Revenue (16) |
| Maintenance Expenditure (1) |
| Local Expenditure (16) |
| State Expenditure (16) |
| Capacity Project Schedules (2A) |
| Other Project Schedules (2B) |
| Additional Project Schedules |
| Capacity (3, 11) |
| Net New Classrooms (3A) |
| Relocatable Replacement (7) |
| Relocatable Student Stations (12) |
| Charter School (9) |
| Leased Facilities (8) |
| Special Purpose Classroom (3B, 3C) |
| Failed Standard Relocatables (6) |
| Infrastructure (4, 5) |
| Class Size Reduction Planning (10) |
| School Closure Planning (13) |
| Ten-Year Maintenance and Repair (20) |
| Ten-Year Capacity (21) |
| Ten-Year Planned Utilization (22) |
| Ten-Year Infrastructure Planning (23, 24) |
| Twenty-Year Maintenance and Repair (25) |
| Twenty-Year Capacity (26) |
| Twenty-Year Planned Utilization (27) |
| Twenty-Year Infrastructure Planning (28, 29) |

Next Cancel

This screen will allow system administrators to check completed all the sections of the year's work plans for a district.

| | | | | | | | | | | | | | | | | | |
|--|--|------------------------------|--|-------------------------|----------------------|--------------------------|----------------------|----------------------------------|----------------------|------------|----------------------|---------------|----------------------|-----------------|----------------------|----------------|----------------------|
| EFIS Home | Current Work Plan: 2007 - 2008 BAKER COUNTY SCHOOL DISTRICT | Work Plan - Submit Work Plan | User: EUS\Kathy.White [Edit Profile] | | | | | | | | | | | | | | |
| Five Year Work Plan | | | | | | | | | | | | | | | | | |
| Past Work Plans Submit Work Plan Revenue Expenditure Project Schedules Tracking Planning Long Range Planning <input checked="" type="checkbox"/> Admin <ul style="list-style-type: none"> Work Plan Sections Additional Revenue Types Maintenance Expenditure Types State Expenditure Types Local Expenditure Types Fund Codes Manage Work Plans Review Work Plans | <h3 style="text-align: center;">Submit Work Plan ?</h3> <p style="text-align: center;">Instructional text goes here.</p> <div style="border: 1px solid #4F81BD; padding: 5px; margin-top: 10px;"> <p style="text-align: center; background-color: #4F81BD; color: white; margin: 0;">BAKER COUNTY SCHOOL DISTRICT 2007 - 2008</p> <p>District: BAKER COUNTY SCHOOL DISTRICT Fiscal Year Range: For Fiscal Years 2007 - 2008 through 2011 - 2012</p> <p>CERTIFICATION This is to certify that the information provided above is accurate and all capital outlay resources have been fully reported and the expenditures planned are a complete and balanced capital outlay plan for the district. The undersigned District Superintendent and Chief Financial Officer of the School District state that the information contained in this District Facilities 5-Year work plan is true and accurate, and that by submitting this Work Program Worksheet, they certify to the Department of Education, Office of Educational Facilities, that the information contained herein is correct. Further the undersigned acknowledge that any information contained in this 5-Year Work Plan is subject to audit by the Auditor General of the State of Florida.</p> <p>Respectfully submitted June 15, 2007.</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">DISTRICT SUPERINTENDENT</td> <td><input type="text"/></td> </tr> <tr> <td>CHIEF FINANCIAL OFFICER:</td> <td><input type="text"/></td> </tr> <tr> <td>DISTRICT POINT-OF-CONTACT PERSON</td> <td><input type="text"/></td> </tr> <tr> <td>JOB TITLE:</td> <td><input type="text"/></td> </tr> <tr> <td>PHONE NUMBER:</td> <td><input type="text"/></td> </tr> <tr> <td>SUN COM NUMBER:</td> <td><input type="text"/></td> </tr> <tr> <td>E-MAIL ADDRESS</td> <td><input type="text"/></td> </tr> </table> <p style="text-align: center; margin-top: 10px;"><input type="button" value="Submit this Work Plan"/></p> </div> | | | DISTRICT SUPERINTENDENT | <input type="text"/> | CHIEF FINANCIAL OFFICER: | <input type="text"/> | DISTRICT POINT-OF-CONTACT PERSON | <input type="text"/> | JOB TITLE: | <input type="text"/> | PHONE NUMBER: | <input type="text"/> | SUN COM NUMBER: | <input type="text"/> | E-MAIL ADDRESS | <input type="text"/> |
| DISTRICT SUPERINTENDENT | <input type="text"/> | | | | | | | | | | | | | | | | |
| CHIEF FINANCIAL OFFICER: | <input type="text"/> | | | | | | | | | | | | | | | | |
| DISTRICT POINT-OF-CONTACT PERSON | <input type="text"/> | | | | | | | | | | | | | | | | |
| JOB TITLE: | <input type="text"/> | | | | | | | | | | | | | | | | |
| PHONE NUMBER: | <input type="text"/> | | | | | | | | | | | | | | | | |
| SUN COM NUMBER: | <input type="text"/> | | | | | | | | | | | | | | | | |
| E-MAIL ADDRESS | <input type="text"/> | | | | | | | | | | | | | | | | |

This screen will allow system administrators to submit the current year's work plans for a district.

| Field Name | Required | Description | Special Validation |
|-------------------------|----------|----------------------------------|--------------------|
| District superintendent | yes | Superintendent name | |
| Chief financial officer | Yes | Chief financial officer | |
| Contact person | Yes | District point of contact person | |
| Job title | Yes | Job title | |
| Phone # | Yes | Phone number | |
| Email | Yes | Email address | |
| Submit button | Yes | Submit work plan | |

7.10 Approve Work Plan for Special Submission

The screenshot shows a Microsoft Internet Explorer browser window displaying the 'Approve Work Plan for Special Submission' page. The browser's address bar shows the URL: `http://doe-tapp01/EFISInternal/WorkPlan/Admin/ApproveWorkPlanForSpecialSubmission.aspx`. The page header indicates the current work plan is for '2008 - 2009 CLAY COUNTY SCHOOL DISTRICT' and the user is 'EUS\David.Medina'. The main content area is titled 'Approve Work Plan for Special Submission' and contains a form with a checked 'Allow Special Submission' checkbox and a text area for 'Details to allowing special submission:'. Below the form are 'Save' and 'Cancel' buttons. A section titled 'Edit Existing Work Plan Comments' shows a list of comments with 'Edit' links for each.

This screen will allow system administrators to approve a work plan for special submission. Once the work plan is approval is set, the district will be able to submit the work plan. The system will look at the override flag and will not validate rule violations during the submission process. If the work plan is re-open, the override flag will be reset again and the district will need to contact OEF again for new approval.

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|---|--------------------|
| Allow Special Submission | yes | This is the flag that will enable the work plan to be submitted by the district and override any rule violations. | |
| Details Comments | Yes | Details comments about allowing special submission. | |
| Save | Yes | Will save the special submission comments and will enable the work plan to be special submitted. | |
| Cancel | Yes | Will cancel the operation. | |
| Edit | Yes | Will enable the edit of a special submission comment. | |


Data Services

The following table outlines the process by which one work plan year is closed and another is opened:

| Phase | Description | Performed By |
|-------|---|--|
| 1 | Ensure all work plans have been submitted by the districts. | OEF Super Users using the EFIS Web Application |
| 2 | Review work plans after submission and mark them as 'Reviewed' within the system. | OEF Users using the EFIS web application. |
| 3 | Generate all reports for the reviewed work plans. | EFIS development team – EFIS Release Management using the Work Plan Report Generator |
| 4 | Archive the work plan year. | OEF Super Users using the EFIS web application. |
| 5 | Archive all lookup table values for historical purposes. | EFIS Development team – EFIS Release Management using SQL queries. |
| 6 | Make any needed updates to the work plan database or website code. | OEF Super Users and EFIS Development Team |
| 7 | Load Current COFTE and Projected COFTE data. | EFIS Development team using SSIS, and SQL queries. |
| 8 | Create the { Current Year } Work Plans | OEF Super Users or EFIS Development Team/EFIS Release Management using the EFIS web application. |
| 9 | Load FISH data into appropriate snapshot tables. | EFIS Development Team – EFIS Release Management using the Work Plan Data Loading application. |
| 10 | Roll data forward. | EFIS Development Team – EFIS Release Management using the Work Plan Data Loading application. |
| 11 | Load external data. | EFIS Development team using SSIS, and SQL queries. |
| 12 | Open the { Current Year } Work Plans for editing | OEF Super Users using the EFIS web application. |

Phase 1 – Ensure all Work Plans are submitted

Prior to any year closing procedures, we need to determine whether or not there are any works plans that have not yet been submitted. This can be accomplished by OEF staff with Super User access to the Work Plan application via the 'Review Work Plans' link under the 'Admin' node of the Five Year Work Plan navigation tree:

- Five Year Work Plan
 - Work Plan User Manual
 - Expenditure
 - Revenue
 - Project Schedules
 - Tracking
 - Planning
 - Long Range Planning
 - Submit Work Plan
 - Admin
 - Work Plan Sections
 - Additional Revenue Types
 - Maintenance Expenditure Types
 - State Expenditure Types
 - Local Expenditure Types
 - Fund Codes
 - Manage Work Plans
 - Review Work Plans 

Once the 'Review Work Plans' screen is loaded, you can browse through the work plans in the grid to determine whether or not any are still waiting to be submitted by looking at the value in the 'Current Status' field. A status of 'Default' indicates that the district has either never submitted the work plan, or that they submitted it and reopened it for editing:

| <input type="checkbox"/> | District | Current Status | Status Date |
|--|---------------------------------|----------------|-------------|
| <input checked="" type="checkbox"/> Select 1 | ALACHUA COUNTY SCHOOL DISTRICT | Reviewed | 9/18/2007 |
| <input checked="" type="checkbox"/> Select 2 | BAKER COUNTY SCHOOL DISTRICT | Reviewed | 10/10/2007 |
| <input type="checkbox"/> Select 3 | BAY COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 4 | BRADFORD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| | BREVARD COUNTY SCHOOL DISTRICT | | |

After a district has completed all work plan sections and gone through the submission process, the current status field will change to 'Submitted':

| <input type="checkbox"/> | District | Current Status | Status Date |
|---|----------------------------------|----------------|-------------|
| <input type="checkbox"/> Select 5 | DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 6 | BROWARD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 7 | CALHOUN COUNTY SCHOOL DISTRICT | Submitted | 4/2/2008 |
| <input type="checkbox"/> Select 8 | CHARLOTTE COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 9 | CITRUS COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |

As work plans get submitted, they can be reviewed.

Phase 2 – Mark Work Plans as 'Reviewed'

After a work plan is submitted, OEF staff can review the data. This can be done by either clicking through all of the screens within the web application or by exporting the 'Work Plan Report' to PDF format. Either way, the first step is to locate the work plan that needs reviewing. This is done by clicking on the 'Review Work Plans' link within the Admin node on the Five Year Work Plan navigation tree as depicted in Phase 1-1.

Once the 'Review Work Plans' screen is loaded, you can scroll through the grid to find a work plan with a Current Status value of 'Submitted':

| <input type="checkbox"/> | District | Current Status | Status Date |
|---|----------------------------------|----------------|-------------|
| <input type="checkbox"/> Select 6 | BROWARD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 7 | CALHOUN COUNTY SCHOOL DISTRICT | Submitted | 4/2/2008 |
| <input type="checkbox"/> Select 8 | CHARLOTTE COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 9 | CITRUS COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |

Clicking the 'Select' link at the left hand side of the row within the grid will load that work plan for you to view. Once a work plan has been loaded, the row within the grid will be highlighted in blue and the name of the district will appear near the upper left hand corner of the screen as the 'Current Work Plan':

EFIS Home
FISH
Five Year Survey
Five Year Work Plan

Current Work Plan: 2007 - 2008 CALHOUN COUNTY SCHOOL DISTRICT

Review Work Plans ?

| <input type="checkbox"/> | District | Current Status | Status Date |
|---|----------------------------------|----------------|-------------|
| <input type="checkbox"/> Select 6 | BROWARD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 7 | CALHOUN COUNTY SCHOOL DISTRICT | Submitted | 4/2/2008 |
| <input type="checkbox"/> Select 8 | CHARLOTTE COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 9 | CITRUS COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |

From here, you can be navigating through all of the work plan screen using the navigation nodes within the tree on the left hand side of the screen. Alternatively, you can obtain a PDF version of the all work plan data by clicking on the 'Submit Work Plan' navigation link:

Five Year Work Plan

[Work Plan User Manual](#)

[Expenditure](#)

[Revenue](#)

[Project Schedules](#)

[Tracking](#)

[Planning](#)

[Long Range Planning](#)

[Submit Work Plan](#) 

Admin

[Work Plan Sections](#)

[Additional Revenue Types](#)

[Maintenance Expenditure Types](#)

[State Expenditure Types](#)

[Local Expenditure Types](#)

[Fund Codes](#)

[Manage Work Plans](#)

[Review Work Plans](#)

Once the 'Submit Work Plan' screen is loaded you can download a PDF version of the report by clicking on the 'Print Work Plan' button.

Current Work Plan: [2007 - 2008 CALHOUN COUNTY SCHOOL DISTRICT](#)

Work Plan - Submit Work Plan

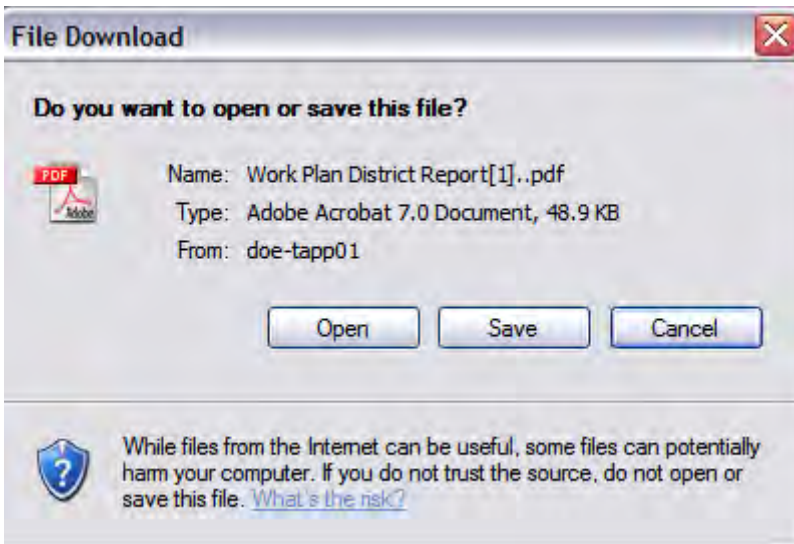
Submit Work Plan 



The "Save and Submit WorkPlan" screen requires districts to enter all administrative and contact information be

This work plan has already been submitted to the Office of Educational Facilities for review. If you wis below.

It may take a minute or two, but once the work plan report has completed rendering you'll be prompted with a download dialog from which you can opt to save or view the PDF document:



As long as the work plan is a submitted state, district users will be unable to modify any data. They do, however, have the ability to withdraw their submission in order to continue making edits. Once a work plan is reviewed, you can prevent districts from reopening the work plan for editing by marking the work plan as 'Reviewed' on the 'Review Work Plans' screen. This is accomplished by checking the checkboxes next to one or more submitted work plans (NOTE: Work plans that are not in a 'Submitted' state will have their checkboxes disabled):

| <input type="checkbox"/> | District | Current Status | Status Date |
|--|----------------------------------|----------------|-------------|
| <input type="checkbox"/> Select 6 | BROWARD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input checked="" type="checkbox"/> Select 7 | CALHOUN COUNTY SCHOOL DISTRICT | Submitted | 4/2/2008 |
| <input type="checkbox"/> Select 8 | CHARLOTTE COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 9 | CITRUS COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |

Once the appropriate check boxes are checked, simply click the 'Mark Selected Work Plans as Reviewed' button below the grid:

| <input type="checkbox"/> | District | Current Status | Status Date |
|--|----------------------------------|----------------|-------------|
| <input type="checkbox"/> Select 6 | BROWARD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input checked="" type="checkbox"/> Select 7 | CALHOUN COUNTY SCHOOL DISTRICT | Submitted | 4/2/2008 |
| <input type="checkbox"/> Select 8 | CHARLOTTE COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 9 | CITRUS COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |

[Mark selected Work Plans as 'Reviewed'](#)



The 'Current Status' of the selected work plans should change to 'Reviewed' and district users will no longer be able to make any further edits to their work plan data.

| <input type="checkbox"/> | District | Current Status | Status Date |
|--|----------------------------------|----------------|-------------|
| <input type="checkbox"/> Select 6 | BROWARD COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input checked="" type="checkbox"/> Select 7 | CALHOUN COUNTY SCHOOL DISTRICT | Reviewed | 4/2/2008 |
| <input type="checkbox"/> Select 8 | CHARLOTTE COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |
| <input type="checkbox"/> Select 9 | CITRUS COUNTY SCHOOL DISTRICT | Default | 7/12/2007 |

Phase 3 – Generate Work Plan Reports

After all work plans have been marked as ‘reviewed’ and before archiving a work plan year, you must first generate the final version of the District Report for each work plan. This report becomes the only readily available version of the work plan data that each district prepared for that year, so the generation of this report is a very important step.

Typically, it will be the development team that performs this step by running a simple console application from within visual studio.

The application can be found in the **EFISWindowsSolution** and is called **WorkPlanReportGenerator**. There are several variables that need to be correctly set before kicking off the report generation process.

First, there are some constants defined at the very top of the main program execution code:

| | |
|-------------------------|--|
| WORKPLAN_YEAR_ID | This denotes the ID of the work plan year for which you want to generate reports. |
| FOLDER_PATH | This denotes the path to which all of the rendered reports should be saved. |
| REPORT_PATH | This denotes the path on the report server in which the District Report resides (this should generally not need to be updated). |
| PARAM_NAME | This is the parameter name for the sole parameter of this report (this should generally not need to be updated). |
| FILE_NAME_FORMAT | This denotes the file name format that will be used when saving the rendered output. The first token will be replaced with the start and end year of the work plan year being rendered. The second token will be replaced with the district number of the work plan. The third token will be replaced with the district name of the work plan. The fourth token will be replaced with the file extension of the selected rendering format. |
| RENDER_FORMAT | This is a string indicating which rendering format should be used by SQL Server Reporting Services. This is generally set to PDF, but other formats may be desirable someday. |

In addition, there are several values within the **app.config** file that may need to be changed depending upon the environment for which you are generating the reports.

Connection strings The connection string needs to be correctly setup depending on the environment you wish to generate reports for.:

| | |
|-------------------------------|-------------|
| Server=doe-tds02\dev | Development |
| Server=doe-tsql01\test | Test |
| Server=doe-psql01\prod | Production |

Web Service URL The web service URL also has to be setup according to the environment you want to generate reports for:

| | |
|---|-------------|
| http://doe-tds02/ReportServer/ReportExecution2005.asmx | Development |
| http://doe-tapp01/ReportServer/ReportExecution2005.asmx | Test |
| http://doe-papp01/ReportServer/ReportExecution2005.asmx | Production |

Each of the above settings may require some further security setup. Connection strings, for example, may need to have a username and password put into them in order to provide the person executing the code permissions to read the database. In addition, it may be necessary to change the credentials provided to the report execution web service within the code, but if a member of the EFIS Release Management team runs the application it shouldn't be an issue.

Once the application is started, by default it will simply retrieve a list of all of the work plans for the specified year and begin rendering a district report and saving the output to the specified folder. Once complete, it will determine whether or not the work plan year can be marked as 'Reports Generated' (which is a requisite for eventually archiving the year).

The application will report its progress while rendering the reports until it completes. If an error is encountered, the error message will be displayed. Upon completion, it will determine whether or not the current year can be marked as 'Reports Generated'. If it can, you will be prompted to mark the year as complete:

```
Skipping report generation...
This work plan year can now be marked as 'Reports Generated'. Would you like to
this now (y/n)?
```

If you enter 'y', the work plan year will be marked as 'Reports Generated'. As an alternative, you can select 'n' at this time in order to give some time for reviewing the work plan reports that were generated by the process. You can then later skip the report generation process and jump right to this prompt again by setting the 'SKIP_GENERATION' Boolean value to 'true'.

```
namespace DOE.EFIS.DataServices.WorkPlanReportGenerator
{
    class Program
    {
        private const int WORKPLAN_YEAR_ID = 1;
        private const string FOLDER_PATH = @"D:\tempreports\";
        private const string REPORT_PATH = @"/EFIS/WorkPlan Reports/DistrictReport";
        private const string PARAM_NAME = "iWorkPlanID";
        private const string FILE_NAME_FORMAT = "{0}WorkPlanDistrictReport_{1}_{2}.{3}";
        private const string RENDER_FORMAT = "PDF";

        private const bool SKIP_GENERATION = false; ←

        static void Main(string[] args)
        {
```

Phase 4 – Mark Year as ‘Archived’

Once all work plans have been marked as ‘Reports Generated’, you can archive the year. This can be done by OEF work plan super users via the ‘Manage Work Plans’ screen.

Once all of the above steps have been successfully completed, the ‘Archive {work plan year} work plans’ button under the ‘Open Work Plans’ section of the screen will be enabled. Clicking this button marks the current work plan year as ‘Archived’.

Pending Work Plans

Pending work plans are those that have been created, but are not yet open and available for editing by district users. You can use pending work plans for the upcoming year, and also take any work plans that are currently pending and open them for editing by district users. Work plans can be opened at a time, and those work plans must have all of their external data loaded before they can be opened for editing.

No work plans are currently pending.

Create the 2008 - 2009 work plans

Open Work Plans

Open work plans are currently available for editing by district users. Open work plans can also be reviewed by OEF staff through the ‘Manage Work Plans’ screen. Work plans can be opened at a time, and these work plans must have their reports generated and saved before they can be archived.

The 2007 - 2008 work plans are currently open and have had their reports successfully generated.

Archive the 2007 - 2008 work plans

Once a work plan year has been archived, both OEF and district users will not be able to make any data edits within the web application until a new year is opened. When district users log in and attempt to navigate to one of the work plan sections (i.e. ‘Expenditure’) will be automatically redirected to the Five Year Work Plan homepage and presented with an error message informing them that there were no work plans currently open for editing.

Error

 There is no work plan currently available for editing.

Five Year Work Plan Instructions

The 5-year district facilities work program is available on-line to all school districts through the Educationa longer in use.

Phase 5 – Archive all lookup table values for historical purposes

One final step before closing out a work plan year and opening another is to make a backup copy of all of the lookup table values for the work plan year being closed in the EFISHistory database. This helps ensure that any changes made to these tables can later be reconciled against what they were for each work plan year historically should the need ever arise. This can be accomplished with simple 'select into' Scripts by a member of the EFIS release management team.

The current list of Work Plan lookup tables to be copied can be found in Appendix 2 of this document.

Phase 6 – Make any needed updates to the work plan screens and database

Once the previous work plan year has been archived and before the new work plan year can be opened, it may be necessary to make changes both to the website code and work plan database tables. These changes will be the result of both OEF and EFIS development team input, though they typically will be implemented by the EFIS development team in the form of a production release. These updates could include:

- Activating / deactivating certain lookup table records.
- Adding new lookup table records.
- Modifying business rule enforcement code.
- Adding or removing certain data elements from existing screens.
- Adding or removing entire screens.
- Adding or removing database fields or tables.

In some cases it may be desirable perform a simulation of closing and opening a new work plan year in order to ensure that any of these updates will perform as expected. In this case, it's best to use the 'EFISim' training environment for this kind of testing.

Phase 7 – Load Current COFTE and Projected COFTE data.

Step 1 – COFTE updates

Toward the end of each fiscal year, COFTE data will be published and then compiled by the Office of Educational Facilities. OEF should furnish the EFIS development team with a spreadsheet containing COFTE values. While the exact format of the data may vary from year to year, the following fields should be included:

| Field Name | Data Type | Description |
|-----------------|----------------|---|
| DistrictNumber | int | Numeric code of the district. |
| Grade | Varchar(2) | 2 letter code of the grade. |
| GradeHSDNumber | decimal(10, 2) | COFTE value for the giving grade and facility |
| Facility Number | Varchar(10) | Facility Number to apply COFTE. |

Assuming that the spreadsheet data was imported to a table called 'COFTE_Tmp', the data will then be loaded into the COFTE table by executing the 'Load COFTE' script located in 'TFS' under EFIS DB Project.

Once this data has been loaded and confirmed by OEF, the temporary COFTE_Tmp table can be dropped

Step 2 – Projected COFTE updates

Toward the end of each fiscal year, projected COFTE data will be published and then compiled by the Office of Educational Facilities. OEF should furnish the EFIS development team with a spreadsheet containing the 4 projected year's COFTE values by year. While the exact format of the data may vary from year to year, the following fields should be included:

| Field Name | Data Type | Description |
|-----------------|-------------|--|
| DistrictNumber | int | Numeric code of the district. |
| Grade | Varchar(50) | 2 letter code of the grade. |
| Year2Projected | int | Projected COFTE value of the work plan second year for the district. |
| Year3 Projected | int | Projected COFTE value of the work plan third year for the district. |
| Year4 Projected | int | Projected COFTE value of the work plan fourth year for the district. |
| Year5 Projected | int | Projected COFTE value of the work plan fifth year for the district. |

Assuming that the spreadsheet data was imported to a table called 'COFTEProjected_Tmp', the data will then be loaded into the COFTEProjected table by executing the 'Load Projected COFTE' script located in 'TFS' under EFIS DB Project.

Once this data has been loaded and confirmed by OEF, the temporary COFTEProjected_Tmp table can be dropped.

Phase 8 – Create the {Current Year} Work Plans.

Once all the COFTE data has been loaded by EFIS development team the work plans can be created. This can be done by OEF work plan super users via the 'Manage Work Plans' screen or by EFIS Development team/EFIS Release Management role.

Pending Work Plans

Pending work plans are those that have been created, but are not yet open and available for editing by district users. You can use this screen to create a new set of pending work plans for the upcoming year, and also take any work plans that are currently pending and open them for editing by district users. Only one set of work plans can be pending at a time, and those work plans must have all of their external data loaded before they can be opened for editing.

No work plans are currently pending.

Create the 2008 - 2009 work plans



Open Work Plans

Open work plans are currently available for editing by district users. Open work plans can also be reviewed by OEF staff through this website interface. Only one set of work plans can be open at a time, and these work plans must have their reports generated and saved before they can be archived.

The **2007 - 2008** work plans are currently open, but have not yet had their reports generated. You must generate the reports for all of the open work plans before archiving them.

Archive the 2007 - 2008 work plans

Phase 9 – Load FISH Data

Step 1 – Load WorkPlanFISHSnapshot

The EFIS database contains a table called 'WorkPlanFISHSnapshot' that is used for storing aggregated data for each active facility within FISH at the time the snapshot is created. The following data fields are imported from FISH and stored in this snapshot:

| Field Name | Description |
|-------------------------------------|---|
| WorkplanFISHSnapshotID | Unique number assigned to each snapshot record. |
| WorkPlanYearID | Foreign key to the 'WorkPlanYear' table that provides 'versioning' to each set of snapshot records. |
| FacilityID | Foreign key to the 'Facility' table that denotes which facility this record was created from. |
| FacilityNumber | Number of the facility at the time the snapshot was created. |
| FacilityName | Name of the facility at the time the snapshot was created. |
| FacilityUseID | Foreign key to the Facility Use record representing what use code the facility had when the snapshot was created. |
| InstructionalStatusID | Foreign key to the Instructional Status record representing what kind of instructional status the facility had when the snapshot was created (Instructional, Non-Instructional, or Both) |
| CapitalOutlayClassificationID | Foreign key to the Capital Outlay Classification record representing what COC code the facility had when the snapshot was created. |
| MinGradeHousedID | Foreign key to the Grade Housed record representing what minimum grade was housed at the facility when the snapshot was created. |
| MaxGradeHousedID | Foreign key to the Grade Housed record representing what maximum grade was housed at the facility when the snapshot was created. |
| FacilitySuffixID | Foreign key to the Facility Suffix record representing what the suffix code was at the time the snapshot record was created. |
| FacilityCapacity | Value denoting what the calculated capacity was at the facility at the time the snapshot was created (i.e. the total satisfactory stations multiplied by the utilization factor). |
| TotalStudentStations | Value denoting the total of all student stations in all active rooms within the facility at the time the snapshot was created. |
| TotalFailedStandardsStudentStations | Value denoting the total of all student stations in active rooms that have a condition code of 'Fails Standards'. |
| TotalSatisfactoryStudentStations | Value denoting the total of all student stations in active rooms that have a condition code of 'Satisfactory'. |
| TotalRelocatableStudentStations | Value denoting the total of all student stations in active rooms that are in 'Relocatable' buildings and have a condition code of 'Satisfactory'. |
| CurrentCOFTE | The total of all current COFTE values for all grades within the facility at the time the snapshot was created. Note that 'current' COFTE in this case would actually refer to COFTE from the year previous to the work plan year being created, because 'current' COFTE is posted a year behind. For example, the 2007-2008 work plans would actually be using 'current' COFTE for the 2006-2007 year. |
| TotalClassrooms | Count of all rooms within the facility that have a condition code of 'Satisfactory' and carry some student capacity (i.e. student station count > 0) at the time the snapshot was created. |
| TotalFailsStandardsClassrooms | Count of all rooms within the facility that have a condition code of 'Fails Standards' and carry some student capacity (i.e. student station count > 0) at the time the snapshot was created. |
| TotalLeasedClassrooms | Count of all rooms within the facility that have a condition code of 'Satisfactory', carry some student capacity (i.e. student station count > 0), and that are in a building with an owner code of 'Lease Rent' at the time the snapshot was created. |
| TotalLeasedStudentStations | Count of all student stations within rooms that reside in buildings with an Owner code of 'Lease Rent'. |

| | |
|------------------------|---|
| TotalReplacementsYear1 | Total number of 'Scheduled for Replacement' relocatable units that will actually be replaced in the first year of the work plan. *NOTE: At the current time these values are not automatically pulled in from FISH, but rather are updated manually by the district users. |
| TotalReplacementsYear2 | Total number of 'Scheduled for Replacement' relocatable units that will actually be replaced in the second year of the work plan. *NOTE: At the current time these values are not automatically pulled in from FISH, but rather are updated manually by the district users. |
| TotalReplacementsYear3 | Total number of 'Scheduled for Replacement' relocatable units that will actually be replaced in the third year of the work plan. *NOTE: At the current time these values are not automatically pulled in from FISH, but rather are updated manually by the district users. |
| TotalReplacementsYear4 | Total number of 'Scheduled for Replacement' relocatable units that will actually be replaced in the fourth year of the work plan. *NOTE: At the current time these values are not automatically pulled in from FISH, but rather are updated manually by the district users. |
| TotalReplacementsYear5 | Total number of 'Scheduled for Replacement' relocatable units that will actually be replaced in the fifth year of the work plan. *NOTE: At the current time these values are not automatically pulled in from FISH, but rather are updated manually by the district users. |
| TotalBuildings | Total number of buildings within the facility that were active at the time the snapshot was created. |
| TotalLeasedBuildings | Total number of buildings within the parent facility that were active and had an owner code of 'Lease Rent' at the time the snapshot was created. |

Step 2 – Load 'Failed Standards' Relocatables

In addition to the facility-level snapshot data captured above, the 'Fails Standards Relocatables' screen also has to be loaded from FISH. The needed data for this screen does not live in the WorkplanFISHSnapshot table because this screen requires the total number of failed standards rooms broken down by **facility and owner code**, rather than just facility. A process very similar to the snapshot loading process parses through all active facilities within each district, and breaks down any failed standards rooms into their respective owner codes to provide aggregates and then update the appropriate table in the database.

Step 3 – Load 10 and 20 Year Planned Utilization

The 'future facility' data for the Long Range Planning 10 & 20 year utilization has to be loaded from FISH. The data that is loaded consists of FISH student station counts, FISH capacity, and FISH COFTE values grouped into all Elementary Schools, all Middle schools, all High Schools, and all other schools. If an approved survey is linked to a five-year work plan and that approved survey has long range planning data, the five year work plan will use and display that data instead. The roll forward process will not apply for the 10 and 20-year utilization since COFTE data changes and must generate new numbers.

Phase 10 – Roll/Copy Data Forward

Once the FISH snapshot data has been created, we can begin “rolling forward” certain data elements within the work plan. This rolling forward is done primarily to promote consistency and accuracy of data between versions of the work plan in addition to saving district users data entry time each year. Below is a breakdown of all of the screens within the work plan that are affected by the rollover, a description of the rollover activities that will be needed, in addition to the database table(s) that are associated with them.

Expenditure Screens

Maintenance Expenditure

Steps:

1. Any records that correspond to ‘Item’ values that are now ‘inactive’ will be discarded.
2. All other records will have their year 1 values discarded and the remaining four years’ values moved up one position.
3. Any facility associations that reference facilities no longer appearing in the new version of the FISH snapshot will be removed.
4. Once complete, if there are any active maintenance expenditure type records that are not being accounted for within the rolled forward data, default records representing those item types will be created.

Database tables:

- ExpenditureMaintenance
- ExpenditureMaintenanceFacilityAssociation
- ExpenditureMaintenanceType

Local Expenditure

Steps:

1. Any records that correspond to ‘Item’ values that are now ‘inactive’ will be discarded.
2. All other records will have their year 1 values discarded and the remaining four years’ values moved up one position.
3. Once complete, if there are any active local expenditure type records that are not being accounted for within the rolled forward data, default records representing those item types will be created.

Database tables:

- ExpenditureLocal
- ExpenditureLocalType

Revenue Screens

Fair Share Revenue

Steps:

1. All records will have their year 1 values discarded and the remaining four years' values moved up one position.

Database tables:

- RevenueMitigation

Sales Surtax Revenue

Steps:

1. Any data that is present will be copied forward.

Database tables:

- TrackingSalesTax

Additional Revenue

Steps:

1. Any records that correspond to 'Item' values that are now 'inactive' will be discarded.
2. All other records will have their year 1 values discarded and the remaining four years' values moved up one position.

Database tables:

- RevenueAdditional
- RevenueAdditionalType

Project Schedule Screens

Capacity Project Schedules

Steps:

1. Any records that correspond to facilities that no longer appear in the snapshot will be removed.
2. All other records will have their year 1 values discarded and the remaining four years' values moved up one position.

Database tables:

- ProjectSchedule
- WorkPlanFISHSnapshot

Other Project Schedules

Steps:

1. Any records that correspond to facilities that no longer appear in the snapshot will be removed.
2. All other records will have their year 1 values discarded and the remaining four years' values moved up one position.

Database tables:

- ProjectSchedule
- WorkPlanFISHSnapshot

Additional Project Schedules

Steps:

1. Any records that correspond to facilities that no longer appear in the snapshot will be removed.
2. All other records will have their year 1 values discarded and the remaining four years' values moved up one position.

Database tables:

- ProjectSchedule
- WorkPlanFISHSnapshot

Tracking Screens

Capacity

Steps:

1. Create a new, empty record corresponding to each active Work Plan FISH Snapshot record.
2. Create new, empty records to represent the 'COFTE Balance' table records that appear near the bottom of the screen.

Database tables:

- WorkPlanFISHSnapshot

- TrackingCapacity
- TrackingCapacityCOFTEBalance
- TrackingGradeLevelType

Net New Classrooms

Steps:

1. Create a new, empty record corresponding to each active Grade Level Type.

Database tables:

- TrackingNetNewClassroom
- TrackingGradeLevelType

Relocatable Replacement

Steps:

1. Any records that correspond to facilities that no longer appear in the snapshot will be removed.
2. All other records will have their year 1 values discarded and the remaining four years' values moved up one position.

Database tables:

- WorkPlanFISHSnapshot

Leased Facilities

Steps:

1. Any records that correspond to facilities that no longer appear in the snapshot will be removed.
2. All other records will have any data present copied forward to a new record
3. If any snapshots exist for which there are no records to copy, a new empty record will be created.

Database tables:

- WorkPlanFISHSnapshot
- TrackingLeasedFacility

Charter Schools

Steps:

1. Any data that is present will be copied forward.

Database tables:

- TrackingCharterSchools

Special Purpose Classroom

Steps:

1. Any records that correspond to facilities that no longer appear in the snapshot will be removed.
1. All other records will have their values carried forward.

Database tables:

- TrackingSpecialPurposeClassroom

Relocatable Student Stations

Steps:

1. Any records that correspond to facilities that no longer appear in the snapshot will be removed.
2. All other records will have their year 2 values discarded and the remaining three years' values moved up one position.
3. If any snapshots exist for which no record was carried forward, an empty record will be created.

Database tables:

- TrackingRelocatableStuSta
- WorkPlanFISHSnapshot

Planning Screens

Class Size Reduction Planning

Steps:

1. Copy forward any data that is present.

Database tables:

- PlanningClassSizeReduction

School Closure Planning

Steps:

1. Copy forward any data that is present.

Database tables:

- PlanningSchoolClosure

Long Range Planning Screens

NOTE: The below actions will only be performed if the Five Year Survey associated with the work plan record does not already have long range planning data associated with it.

Ten Year Maintenance and Repair

Steps:

1. Any associations to facilities that no longer appear in the snapshot will be discarded.
2. Copy forward any other data that is present.

Database tables:

- LongRangePlanningMaintenanceProject
- LongRangePlanningMaintenanceProjectFacilityAssociation

Ten Year Capacity

Steps:

1. Any data that is present will be copied forward.

Database tables:

- LongRangePlanningCapacityProject

Ten Year Infrastructure Planning

Steps:

1. Any data that is present will be copied forward.

Database tables:

- LongRangePlanningInfrastructure

Twenty Year Maintenance and Repair

Steps:

1. Any associations to facilities that no longer appear in the snapshot will be discarded.
2. Copy forward any other data that is present.

Database tables:

- LongRangePlanningMaintenanceProject
- LongRangePlanningMaintenanceProjectFacilityAssociation

Twenty Year Capacity

Steps:

1. Any data that is present will be copied forward.

Database tables:

- LongRangePlanningCapacityProject

Twenty Year Infrastructure Planning

Steps:

2. Any data that is present will be copied forward.

Database tables:

- LongRangePlanningInfrastructure

Phase 11 – Import External Data

1 – PECO Revenue updates

Toward the end of each fiscal year, PECO revenue data will be compiled by the Office of Educational Facilities. OEF should furnish the EFIS development team with a spreadsheet containing the current year and 4 projected year's PECO maintenance and new construction values by year. While the exact format of the data may vary from year to year, the following fields should be included:

| Field Name | Data Type | Description |
|------------------|-----------|---|
| DistrictNumber | int | Numeric code of the district. |
| Year1Maintenance | money | PECO maintenance dollars in the current year of the Work Plan |
| Year1NewCons | money | PECO new construction dollars in the current year of the Work Plan |
| Year2Maintenance | money | Projected PECO maintenance dollars in the second year of the Work Plan |
| Year2NewCons | money | Projected PECO new construction dollars in the second year of the Work Plan |
| Year3Maintenance | money | Projected PECO maintenance dollars in the third year of the Work Plan |
| Year3NewCons | money | Projected PECO new construction dollars in the third year of the Work Plan |
| Year4Maintenance | money | Projected PECO maintenance dollars in the fourth year of the Work Plan |
| Year4NewCons | money | Projected PECO new construction dollars in the fourth year of the Work Plan |
| Year5Maintenance | money | Projected PECO maintenance dollars in the fifth year of the Work Plan |
| Year5NewCons | money | Projected PECO new construction dollars in the fifth year of the Work Plan |

Assuming that the spreadsheet data was imported to a table called 'RevenuePECO_Tmp', the data will then be loaded into the RevenuePECO table by executing the 'Load RevenuePECO' script located in 'Conversion Scripts\WorkPlan' folder.

Once this data has been loaded and confirmed by OEF, the temporary RevenuePECO_Tmp table can be dropped.

2 – Classroom for Kids Revenue updates

Toward the end of each fiscal year, 'Classrooms for Kids' revenue data will be compiled by the Office of Educational Facilities. OEF should furnish the EFIS development team with a spreadsheet containing the current year new construction values. While the exact format of the data may vary from year to year, the following fields should be included:

| Field Name | Data Type | Description |
|----------------|-----------|--|
| DistrictNumber | int | Numeric code of the district. |
| Year1CFKValue | money | Classrooms for Kids dollars in the current year of the Work Plan |

Assuming that the spreadsheet data was imported to a table called 'RevenueAdditional_CFK_Tmp', the data will then be loaded into the RevenueAdditional table by executing the 'Load Classrooms for Kids' script located in 'Conversion Scripts\WorkPlan' folder.

Once this data has been loaded and confirmed by OEF, the temporary RevenueAdditional_CFK_Tmp table can be dropped.

3 – Property Valuation updates

Toward the end of each fiscal year, Property Valuation revenue data will be compiled by the Educational and Demographic Research office. OEF should furnish the EFIS development team with a spreadsheet containing the current year and 4 projected year's property values by year, by district. While the exact format of the data may vary from year to year, the following fields should be included:

| Field Name | Data Type | Description |
|----------------|-----------|---|
| DistrictNumber | int | Numeric code of the district. |
| Year1 | money | Property Valuation amount for the district in the current year of the Work Plan |
| Year2 | money | Property Valuation amount for the district in the second year of the Work Plan |

| | | |
|-------|-------|--|
| Year3 | money | Property Valuation amount for the district in the third year of the Work Plan |
| Year4 | money | Property Valuation amount for the district in the fourth year of the Work Plan |
| Year5 | money | Property Valuation amount for the district in the fifth year of the Work Plan |

Assuming that the spreadsheet data was imported to a table called 'RevenueTwoMil_Tmp', the data will then be loaded into the RevenueTwoMil table by executing the 'Load RevenueTwoMil.sql' script located in 'Conversion Scripts\WorkPlan' folder.

Once this data has been loaded and confirmed by OEF, the temporary RevenueTwoMil_Tmp table can be dropped.

4 – Revenue CO and DS updates

Toward the end of each fiscal year, Property Valuation revenue data will be compiled by the Educational and Demographic Research office. OEF should furnish the EFIS development team with a spreadsheet containing the current year and 4 projected year's CO&DS values by year, by district. While the exact format of the data may vary from year to year, the following fields should be included:

| Field Name | Data Type | Description |
|-----------------|-----------|---|
| DistrictNumber | int | Numeric code of the district. |
| CO & DS Type Id | Int | CO & DS Cash Flow-through Distributed or CO & DS Interest on Undistributed CO |
| Year1 | money | Property Valuation amount for the district in the current year of the Work Plan |
| Year2 | money | Property Valuation amount for the district in the second year of the Work Plan |
| Year3 | money | Property Valuation amount for the district in the third year of the Work Plan |
| Year4 | money | Property Valuation amount for the district in the fourth year of the Work Plan |
| Year5 | money | Property Valuation amount for the district in the fifth year of the Work Plan |

Assuming that the spreadsheet data was imported to a table called 'RevenueCODS_Tmp', the data will then be loaded into the RevenueCODS table by executing the script located in TFS Release version folder.

Once this data has been loaded and confirmed by OEF, the temporary RevenueCODS_Tmp table can be dropped.

Phase 11 – Open work plans for Editing

Once the steps 9, 10, and 11 are complete the work plans can be open for editing at the discretion of the OEF office. This can be done by OEF work plan super users via the 'Manage Work Plans' screen.

Pending Work Plans

Pending work plans are those that have been created, but are not yet open and available for editing by district users. You can use this screen to create a new set of pending work plans for the upcoming year, and also take any work plans that are currently pending and open them for editing by district users. Only one set of work plans can be pending at a time, and those work plans must have all of their external data loaded before they can be opened for editing.

The **2008 - 2009** work plans are currently pending and have had their external data loaded.

[Open the 2008 - 2009 work plans for editing](#)



Open Work Plans

Open work plans are currently available for editing by district users. Open work plans can also be reviewed by OEF staff through this website interface. Only one set of work plans can be open at a time, and these work plans must have their reports generated and saved before they can be archived.

No work plans are currently open.

Appendix 1 - Breakdown of Data Loading Actions by Screen

Expenditure Screens

| Screen Name | Description |
|-------------------------|--|
| Maintenance Expenditure | Roll each year's data forward, removing any records that refer to inactive item types. |
| Local Expenditure | Roll each year's data forward, removing any records that refer to inactive item types. |

Revenue Screens

| Screen Name | Description |
|-------------------------------|--|
| 2-Mill Revenue | Data will be imported from an external spreadsheet. |
| PECO New Construction Revenue | Data will be imported from an external spreadsheet. |
| CO & DS Revenue | Data will be imported from an external spreadsheet. |
| Fair Share Revenue | Roll each year's data forward. |
| Sales Surtax Revenue | If any data is present, copy that data forward. |
| Additional Revenue | Roll each year's data forward, removing any records that refer to inactive item types. |

Project Schedules

| Screen Name | Description |
|------------------------------|---|
| Capacity Project Schedules | Roll each year's data forward, removing any records that refer to facilities for which no new snapshot has been created. |
| Other Project Schedules | Roll each year's data forward, removing any records that refer to facilities for which no new snapshot has been created. |
| Additional Project Schedules | Roll each year's data forward, removing any records that refer to facilities for which no new snapshot data has been created. |

Tracking

| Screen Name | Description |
|------------------------------|--|
| Capacity | Create a new record for each active work plan FISH snapshot record in the new year as well as a record for each Grade Level Type in the COFTE balance table. |
| Relocatable Replacement | Roll each year's data forward, removing any records that refer to facilities for which no new snapshot has been created. |
| Charter School | If any data is present, copy it forward. |
| Special Purpose Classroom | If any data is present, copy it forward. |
| Infrastructure | No action will be taken. |
| Net new classrooms | Create a new record for each Grade Level Type. |
| Relocatable student stations | Roll each year's data forward, removing any records that refer to facilities for which no new snapshot data has been created. |
| Leased Facilities | Copy any data forward that corresponds to still active fish snapshots. Create new records for any snapshots that aren't covered. |
| Failed Standard Relocatables | This data is loaded along with the Work Plan FISH snapshot data. |

Planning

| Screen Name | Description |
|-------------------------------|--|
| Class Size Reduction Planning | If any data is present, copy it forward |
| School Closure Planning | If any data is present, copy it forward. |

Long Range Planning

NOTE: The actions listed below are only applicable if the no long range planning data is found in the associated Five Year Survey.

| Screen Name | Description |
|-------------------------------------|--|
| Ten-Year Maintenance and Repair | If any data is present, copy it forward. |
| Ten-Year Capacity | If any data is present, copy it forward. |
| Ten-Year Planned Utilization | If any data is present, copy it forward. |
| Ten-Year Infrastructure Planning | If any data is present, copy it forward. |
| Twenty-Year Maintenance and Repair | If any data is present, copy it forward. |
| Twenty-Year Capacity | If any data is present, copy it forward. |
| Twenty-Year Planned Utilization | If any data is present, copy it forward. |
| Twenty-Year Infrastructure Planning | If any data is present, copy it forward. |

Appendix 2 – Work Plan Reference Tables

The following are the reference tables that need to be considered when creating and archiving work plan years:

ExpenditureLocalType

ExpenditureMaintenanceType

ExpenditureStateType

FundCode

LongRangePlanningGradeLevelType

LongRangePlanningType

PlanningItemType

ProjectType

RevenueAdditionalType

RevenueCODSType

RevenuePECOType

TrackingGradeLevelType

TrackingSalesTaxType

TrackingSpecialPurposeClassroomType

WorkPlanSection

WorkPlanStatusType

WorkPlanYearStatusType

Revision History

| Date | Person Responsible | Description |
|------------|--------------------|---|
| 3/29/2007 | Jesse Taber | Reorganized some of the field descriptions to be more consistent and updated some screen shots. |
| 3/30/2007 | Kathy White | Revisions |
| 4/2/2007 | Troye Stonich | Minor revisions based on updated requirements |
| 4/11/2007 | Troye Stonich | Revisions based on updated requirements |
| 6/7/2007 | Troye Stonich | Added Data Services section |
| 6/15/07 | Kathy White | Recaptured new screens as updates were finished |
| 02/12/08 | Brian Gouin | Updated screens. |
| 03/19/2008 | Jesse Taber | Updated the data services section to include new processes for data loading and rolling data forward. |
| 3/20/2008 | Jesse Taber | Updated after feedback from Charles. |
| 4/3/2008 | Jesse Taber | Completed sections on work plan loading, opening, closing, and archiving. |
| 4/9/2008 | Jesse Taber | Refactored the data loading phases. |
| 04-23-2008 | David Medina | Refactored the Data Services steps. |
| 07-10-2008 | David Medina | Updated to add information regarding Revenue CO and DS data and Long Range Planning Data. |
| 08-28-2008 | David Medina | Updates to the 10 and 20 year long range utilization data. |

Functional Design Specification

Community College

Version: 1.0

Table of Contents

- DESIGN OVERVIEW..... 1**
- FUNCTIONAL REQUIREMENTS..... 2**
- USER SERVICES..... 3**
 - 1 - MANAGE SURVEYS
 - 1.1 - CREATE NEW SURVEY 3
 - 1.2 - VIEW SURVEYS..... 4
 - 1.3 - SUBMIT SURVEYS..... 6
 - 2 - FACILITY LIST AND INVENTORY..... 7
 - 2.1 - COFTE PROJECTIONS..... 8
 - 2.2 - VIEW/EDITFACILITYLIST..... 8
 - 2.3 - VIEWSITES..... 9
 - 2.4 - VIEWBUILDINGS..... 10
 - 2.5 - VIEWROOMS..... 11
 - 3 - RECOMMENDATIONS
 - 3.1 - COLLEGE-WIDE RECOMMENDATIONS..... 12
 - 3.2 - SITE IMPROVEMENT..... 13
 - 3.3 - NEW CONSTRUCTION/REMODELING/RENOVATION..... 14
 - 4 - FUNDING
 - 4.1 -EXPENDITURESBYPROJECT TYPE..... 15
 - 4.2-EXPENDITURES BYFUND SOURCE..... 17
 - 4.3-CAPITALOUTLAY BONDS..... 19
 - 5 - PROJECT PRIORITY LISTS
 - 5.1- ADD PROJECT PRIORITY LIST 20
 - 5.1.2 - PROJECT PRIORLITY LIST WIZARD..... 21
 - 5.2-VIEW PROJECT PRIORITY LIST..... 23
 - 5.3- PROJECT PRORITY LIST DETAILS 24
 - 5.4 - SUBMITTED PROJECT PRIORITY LIST..... 24
 - 5.5 - APPROVAL OF PROJECT PRIORITY LIST 25
 - 6 - REPORTS
 - 6.1-EXISTING AND RECOMMENDED SF..... 26
 - 6.2-SATISFACTORY STUDENT STATIONS..... 27
 - 6.3-EDUCATIONAL PLANTS REPORT..... 28
 - 7 - ADMINISTRATIVE
 - 7.1SURVEYSECTIONS..... 29
 - 7.2-FUNDEXPENDITURETYPES..... 30
 - 7.3-FUNDSOURCETYPES..... 31
 - 7.4-GENERALRECOMMENDATIONTYPES..... 32
 - 7.5- COST PER SQ FT..... 33
- REVISION HISTORY..... 34**

1 – Manage Surveys

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

1.1 – Create New Survey

This screen allows the user to either create a whole new survey or a spot survey. The user must check the Facilities Inventory Confirmation box acknowledgment and the COFTE projections box before the survey creation.

| Field Name | Required | Description | Special Validation |
|-----------------------------------|----------|---|--------------------|
| Create Whole Survey | No | Checkbox to choose to create a whole new survey | |
| Create Spot Survey | No | Checkbox to choose to create a Spot Survey | |
| Facilities Inventory Confirmation | Yes | Checkbox to certify confirmation | |
| COFTE projections | Yes | Checkbox to certify accuracy | |

1.2 - View Surveys

Current Survey: [CHIPOLA JUNIOR COLLEGE - 1.3](#) Community Colleges - View Surveys User: EUS\ryan.fonnett [\[E\]](#)

Survey Listing [?](#)

Organization:

| | Number | Version | Survey Date | Current Status | Creation Time | Approval Date | Submission Date |
|---|--------|---------|-------------|-----------------|-----------------------|---------------|-----------------|
| Delete Select | 1 | 3 | 3/19/2009 | Active Pending | 3/19/2009 12:58:33 PM | | |
| Select | 1 | 2 | 3/19/2009 | Active Approved | 3/19/2009 12:47:42 PM | 3/19/2009 | 3/19/2009 |
| Select | 1 | 1 | 3/12/2009 | Active Approved | 3/12/2009 9:20:28 AM | 3/19/2009 | 3/19/2009 |

This screen allows the user to see all of their available surveys by Survey Number, Survey Version, Survey Date, Current Status, Creation Time, Approval Date, and Submission Date of the survey. Note: The Approval Date and Submission Date will only be displayed if the survey was submitted and/or approved.

Survey Details ?

Survey 1, Version 1
 Status: Active Pending
 Survey Creation Time: 2/12/2009 9:27:50 AM

Submission Date:
 DOE Approval Date:

Description:

Survey Open Date: / /

Board Approval Date: / /

Survey Expiration Date:

DVE768 Approval Date: / /

Community College Contact Information:

Name:

Phone: (###) ### - ####

Email:

Comments:

Add comment:

This screen captures the survey details of the contact person for the district.








| Field Name | Required | Description | Special Validation |
|------------------------|----------|---|--------------------|
| Description | No | Description of the survey | |
| Survey open date | Yes | Date the survey opened | |
| Board approval date | Yes | The DOE board approval date for the survey submission | |
| Survey expiration date | Yes | Date of approval by district | |
| Name | Yes | District contact name | |
| Phone number | Yes | District contact phone number | |
| Email | Yes | District contact email address | |

1.3 – Submit Survey

Submit Completed Survey [?](#)

All Sections must be complete for a valid submission.

Current Survey Status: **Active Pending**

| Section Name | Site Name |
|---|----------------------|
|  COFTE Projections | |
|  Facility List - General Classroom | COCOA CAMPUS |
|  Facility List - General Classroom | MELBOURNE CAMPUS |
|  Facility List - General Classroom | TITUSVILLE CAMPUS |
|  Facility List - General Classroom | GOLF TEACHING FACILI |
|  Facility List - General Classroom | PALM BAY CAMPUS |
|  Facility List - General Classroom | COCOA VILLAGE PLAYHO |

This screen shows the sections of the survey by site name. All sections must be completed before the submission of the survey. After all sections are complete, the user may click on the submit button.

2 – Facility List and Inventory

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

2.1 – COFTE Projections

Computation Of Projection For Site Capital Outlay Full-Time Equivalent Student Enrollment [?](#)

Mark As Complete

COFTE must include both vocational and non-vocational projections for all programs that will require the provision of permanent student stations.

COCOA CAMPUS

| Item | 2008-09 | 2009-10 | 2010-11 | 2011-12 | 2012-13 |
|--|-------------|-------------|-------------|-------------|-------------|
| NON VOCATIONAL FTE: | | | | | |
| Annual FTE | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| +/- FTE: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Adjusted Annual FTE: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| VOCATIONAL FTE: | | | | | |
| Annual FTE: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| +/- FTE: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Adjusted Annual FTE: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| TOTAL CAPITAL OUTLAY FTE PROJECTIONS: | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

This screen displays to the user the Non Vocational FTE and Vocational FTE for the projected 5 years. The adjusted Annual FTE is then calculated along with the Total Capital Outlay FTE projections

| Field Name | Required | Description | Special Validation |
|------------|----------|---------------------|--------------------|
| School | Yes | The school facility | |

2.2 – View/Edit Facility List

Facility List ?

Mark As Complete

General-purpose classrooms are generic-type spaces for multiple users. They can be scheduled and used, one hour after another, by any number of different kinds of occupants. Typically, general classrooms are simple rooms with tablet armchairs, used by a teacher and a class of students, where the courses taught can change every hour.

| | | | | |
|---------------------------|------------|--|-------------------------|-------------------------|
| | FTE | | Stations Allowed | Current Stations |
| General Classroom: | 5323.00 | | 2662 | 0 |
| Non-Vocational: | 3416.00 | | 854 | 0 |
| Vocational: | 1907.00 | | 954 | 0 |

General Classroom Totals Grand Totals

Site: Stations: 0

Category: Net Square Feet: 0

Subcategory:

| Total Student Stations Needed | Space Description | Stations Per Space | SqFt Per Station | SqFt Each Space | Total Spaces | Total SqFt | Total Stations |
|-------------------------------|-------------------|--------------------|------------------|-----------------|--------------|------------|----------------|
| 0 | Classroom | 0 | 25 | 0 | 0 | 0 | 0 |
| 0 | Storage, Material | | | | 0 | 0 | |

Auxiliary Spaces by Site

| Auxiliary Space | Sq. Feet Allowed |
|-------------------------|------------------|
| Library / Study | 277761 |
| Audiovisual | 162633 |
| Auditorium / Exhibition | 79453 |
| Student Services | 188632 |
| Physical Education | 135755 |
| Office | 314388 |
| Support Services | 204845 |
| Custodial | 27666 |
| Circulation | 281269 |
| Mechanical / Sanitation | 44014 |

This screen captures the Total Student Stations Needed and the Stations Per Space. The General Classroom Totals and the Grand Totals are calculated for the site.

| Field Name | Required | Description | Special Validation |
|------------|----------|-------------|--------------------|
|------------|----------|-------------|--------------------|

| | | | |
|--------------------------------------|------------|--|--|
| Total Student Stations Needed | Yes | Enter the total number of student stations needed | |
| Stations Per Space | Yes | Enter the total number of stations per space | |

2.3 – View Sites

Current Survey: [BREVARD COMMUNITY COLLEGE - 19.1](#) **Community Colleges - Sites** User: EUS\kathy.white [\[Edit Profile\]](#)

Site Listing [?](#)

| Number | Site Description | Name |
|--------|--------------------|----------------------|
| 1 | Campus | COCOA CAMPUS |
| 2 | Campus | MELBOURNE CAMPUS |
| 3 | Campus | TITUSVILLE CAMPUS |
| 4 | Instructional Site | GOLF TEACHING FACILI |
| 5 | Campus | PALM BAY CAMPUS |
| 6 | Other | COCOA VILLAGE PLAYHO |

This is a descriptive listing by Number, Description and Name of each site for the community college within the current survey.

2.4 – View Buildings

Building Listing ?

Sites:

| Building Number | Building Name | Net Sq Feet | Student Station Count | Gross Sq Feet | Condition Description | Status Description |
|-----------------|----------------------|-------------|-----------------------|---------------|-----------------------|--------------------|
| 1 | Administration | 18,034 | 0 | 23,760 | Remodeling C | Under Construction |
| 2 | Science & Technology | 45,893 | 182 | 55,871 | Satisfactory | Permanent |
| 3 | Learning Resources C | 44,261 | 21 | 47,315 | Satisfactory | Permanent |
| 4 | Fine Arts | 45,056 | 88 | 49,904 | Satisfactory | Permanent |
| 5 | Bryant Union | 38,971 | 0 | 47,353 | Satisfactory | Permanent |

This is a descriptive listing of each building for the community college within the current survey showing the building number, building name, net square feet, number of student stations, gross square feet, condition description and the status description.

2.5 – View Rooms

Room Listing ?

Sites:

Buildings:

| Room Number | ICS Code | Use Code | Room Name | Net Sq Feet | Student Station Count | Room Condition Description | Room Use Description | Joint Use |
|-------------|------------|----------|--------------------|-------------|-----------------------|----------------------------|----------------------------------|----------------------|
| 100 | 9.00.00000 | 20 | Circulation | 600 | 0 | Remodeling | Circulation Area | View |
| 101 | 1.40.00000 | 350 | Conference Room | 735 | 0 | Remodeling | Conference Room (Office Related) | View |
| 102 | 1.40.00000 | 110 | Culinary Classroom | 735 | 29 | Remodeling | Classroom | View |
| 107 | 9.00.00000 | 30 | Toilet M | 51 | 0 | Remodeling | Mechanical Area And Toilet Room | View |
| 108 | 9.00.00000 | 30 | Toilet W | 53 | 0 | Remodeling | Mechanical Area And Toilet Room | View |

This is a descriptive listing of each room within the building. The room number, ICS code, use code, room name, net square feet, student station count, room condition description, room use description and joint use are all listed.

3 - Recommendations

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

3.1 – College-wide Recommendations

Current Survey: [CENTRAL FLORIDA COMMUNITY COLLEGE - 1.1](#)

Community Colleges - College-wide Recommendations

User: EUS\kathy.white [\[Edit Profile\]](#)

College-wide Recommendations [?](#)

Mark As Complete

List all the costs, in aggregate, for general survey recommendation types that apply to all sites and which do not require a specific educational plant survey recommendation.

| No. | Description | Estimated Cost |
|---------------|---|----------------------------------|
| SR.01 | Correct deficiencies relating to safety to life, health, and sanitation as identified in the comprehensive Safety Inspection Report pursuant to §4.4(1) and §5(1) SREF. | <input type="text" value="\$0"/> |
| SR.02 | Necessary modifications for the physically disabled in existing buildings recommended for continued use as provided for in §255.21 F.S. | <input type="text" value="\$0"/> |
| SR.03 | Replacement of roofs at existing facilities as provided in §1.2(55) SREF and §423.12 Florida Building Code. | <input type="text" value="\$0"/> |
| SR.04 | Replace or purchase of equipment for existing facilities pursuant to §1.2(55) SREF. | <input type="text" value="\$0"/> |
| SR.05 | Provide for sanitation facilities for students, staff, and the public pursuant to §5(1) SREF and §423.2 Florida Building Code. | <input type="text" value="\$0"/> |
| SR.06 | Provide for custodial facilities pursuant to §423.20 Florida Building Code. | <input type="text" value="\$0"/> |
| Total: | | \$0 |

This screen displays a list of the recommendations and allows the user to enter the estimated cost for it.

| Field Name | Required | Description | Special Validation |
|----------------|----------|---------------------------------|--------------------|
| Estimated Cost | Yes | The cost for the recommendation | |
| | | | |

3.2 – Site Recommendations

Site Recommendations [?](#)

Mark As Complete

List, by site, each project that is planned for site improvement and include the anticipated site improvement cost for each recommendation.

Site:

| | Description | Estimated Cost |
|------------------------|----------------------|----------------------------------|
| Delete | <input type="text"/> | <input type="text" value="\$0"/> |
| Totals: | | \$0 |

This screen has a text box to enter the new site improvement and give the estimated cost of the recommendation.

| Field Name | Required | Description | Special Validation |
|----------------|----------|--|--------------------|
| Description | Yes | Description of the improvement recommended | |
| Estimated Cost | Yes | The cost of the improvement | |

3.3 – New Construction/Remodeling/Renovation

Site Specific Recommendations ?

Mark As Complete

List, by site, each new construction, remodeling, or renovation project that is planned during this educational plant survey period. Include the change in GSF, change in NSF, change in student stations, and the estimated cost anticipated for each recommendation.

Site: Ocala Campus ** All Facility List information for this Site must be complete before editing Recommendations **

| | FTE | Stations Allowed | Current Stations |
|---------------------------|---------|------------------|------------------|
| General Classroom: | 5323.00 | 2662 | 1754 |
| Non-Vocational: | 3416.00 | 854 | 543 |
| Vocational: | 1907.00 | 954 | 458 |

Recommendation Suggestions:

| ICS Code | Space | Facility List Spaces | Spaces In Inventory | Spaces Recommended In Survey | Difference |
|------------|--------------|----------------------|---------------------|------------------------------|------------|
| 1.XX.XXXXX | Classroom | 0 | 54 | 0 | 54 |
| 1.23.0301X | Nursing (RN) | 0 | 3 | 0 | 3 |

| Auxiliary Space | Sq. Footage Allowed | Existing Sq. Footage | Rec. Sq. Footage In Survey |
|-------------------------|---------------------|----------------------|----------------------------|
| Additional Exhibition | 13433 | 23813 | 0 |
| Student Services | 188632 | 10793 | 0 |
| Physical Education | 135755 | 22203 | 0 |
| Office | 314388 | 88490 | 0 |
| Support Services | 204845 | 34866 | 0 |
| Custodial | 27666 | 3306 | 0 |
| Circulation | 281269 | 109602 | 0 |
| Mechanical / Sanitation | 44014 | 49802 | 0 |

Current Recommendations:

There are currently no recommendations for this site.

These screens show the user the recommendation suggestions.

4 – Funding

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

4.1 – Expenditures By Project Type

Current Survey: [BREVARD COMMUNITY COLLEGE - 1.1](#) Community Colleges - CO Expenditures
By Project Type

Fund Expenditures ?

Mark As Complete

All capital outlay expenditures must be recorded here for each of the five years covered in the current educational plant survey.

Instructional Filler Text Goes Here

Site:

Fund Source Totals

| 2009-10 Value | 2010-11 Value | 2011-12 Value | 2012-13 Value | 2013-14 Value | 5 Year Total |
|---------------|---------------|---------------|---------------|---------------|--------------|
| \$145 | \$0 | \$100 | \$0 | \$0 | \$245 |

| Fund Name | 2009-10 Value | 2010-11 Value | 2011-12 Value | 2012-13 Value | 2013-14 Value | 5 Year Total |
|--|------------------------------------|----------------------------------|-----------------------------------|----------------------------------|------------------------------------|--------------|
| Planning | <input type="text" value="\$100"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$100 |
| Land Acquisition | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Building Construction | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Furniture And Equipment | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Remodeling, Renovation, Maintenance And Repair | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$45"/> | <input type="text" value="\$0"/> | <input type="text" value="\$100"/> | \$145 |
| Other Structures & Improvements | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Library Books And Films | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Subtotal: | \$100 | \$0 | \$45 | \$0 | \$100 | \$245 |

Other - Please Specify

| Item | 2008-09 Value | 2009-10 Value | 2010-11 Value | 2011-12 Value | 2012-13 Value | 5 Year Total |
|---|---------------|---------------|---------------|---------------|---------------|--------------|
| Delete <input type="text"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grand Total: | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

The fund expenditure page displays two grids:

- 1) A read only grid which displays the total amounts of the fund source page. Note: the five year total for the fund sources and expenditures must be equal to each other.
- 2) An editable grid that allows the user to enter the values for funds expenditures for the current and projected years.

| Field Name | Required | Description | Special Validation |
|---------------|----------|---|--------------------|
| Value of fund | Yes | The value of the fund expenditure for the current and projected years | |
| Item | Yes | The additional expenditure items added | |

4.2 – Expenditures By Fund Source

Fund Sources ?

Mark As Complete

All capital outlay fund sources must be recorded here for each of the five years covered in the current educational plant survey.

Site: COCOA CAMPUS ▼

Fund Expenditure Totals

| 2009-10 Value | 2010-11 Value | 2011-12 Value | 2012-13 Value | 2013-14 Value | 5 Year Total |
|---------------|---------------|---------------|---------------|---------------|--------------|
| \$100 | \$0 | \$45 | \$0 | \$100 | \$245 |

| Fund Name | 2009-10 Value | 2010-11 Value | 2011-12 Value | 2012-13 Value | 2013-14 Value | 5 Year Total |
|--|------------------------------------|----------------------------------|------------------------------------|----------------------------------|----------------------------------|--------------|
| Revenue Flowthrough And Interest | <input type="text" value="\$100"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$100 |
| Bond Proceeds, SBE Capital Outlay Bonds | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| STATE GENERAL REVENUE | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Remodeling/Renovation, Maint./Repair, and Site Improvement | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Removal Of Asbestos | <input type="text" value="\$45"/> | <input type="text" value="\$0"/> | <input type="text" value="\$100"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$145 |
| New Construction | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Library, Books and Films | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Correction Of Fire Safety Deficiencies | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Modification For Physically Handicapped | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Correction of Safety-To-Life Deficiencies | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| LOCAL FUNDS | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| STUDENT CAPITAL FEE | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | <input type="text" value="\$0"/> | \$0 |
| Subtotal: | \$145 | \$0 | \$100 | \$0 | \$0 | \$245 |

Other - Please Specify

| Item | 2008-09 Value | 2009-10 Value | 2010-11 Value | 2011-12 Value | 2012-13 Value | 5 Year Total |
|---|---------------|---------------|---------------|---------------|---------------|--------------|
| Delete <input type="text"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grand Total: | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

The fund expenditure page displays two grids:

- 1) A read only grid which displays the total amounts of the fund expenditure page. Note: the five year total for the fund sources and expenditures must be equal to each other.
- 2) An editable grid that allows the user to enter the values for funds sources for the current and projected years.

| Field Name | Required | Description | Special Validation |
|-------------------|----------|--|--------------------|
| Fund Source Value | Yes | Enter the value of the fund source | |
| Item | Yes | Enter the value of the fund source being added | |

4.3 – Capital Outlay Bonds

Schedule of State Board of Education Bond Issues and Debt Requirements [?](#)

Mark As Complete

Report all State Board of Education Bonds and include the year and series of issue, bond issue amount, the unretired principle, and the debt service required through this educational plant survey period.

| Year | Name of Issue | Series of Issue | Amount of Issue | Unretired Principle 7/1/2008 | Debt Serv Obligation 7/1/2008 THRU 6/30/2013 | Unretired Principle 7/1/2013 |
|-----------------------------|---------------|--------------------------|-----------------|------------------------------|--|------------------------------|
| Delete 2009 | | <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 |
| Totals: | | | \$0 | \$0 | \$0 | \$0 |

SOURCE: Department of Education, Office of Educational Facilities, Educational Facilities Budgeting and Financial Management Section, "State Board of Education Bond Maturity Schedules".

[Add New](#) [Save](#)

This screen captures the Capital Outlay bond issued and the details of the bond issuer.

| Field Name | Required | Description | Special Validation |
|---------------------------------------|----------|---|--------------------|
| Year | Yes | Enter the year | |
| Name of Issue | Yes | Enter the name of the issuer of the bond | |
| Series of Issue | Yes | Enter the bond series | |
| Amount | Yes | Enter the bond amount | |
| Unretired Principal Current year | Yes | Enter the unretired principal of the bond for the fiscal year | |
| Debt Service Obligation | Yes | Enter the amount of the debt service obligation | |
| Unretired Principal Projected 5 Years | Yes | Enter the unretired principal of the bond for the projected 5 years out | |

5 – Project Priority List

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

5.1 – Add a Project Priority List

5.1.1 - Select a Survey

| Number | Version | Survey Open Date |
|--------|---------|-----------------------|
| 1 | 1 | 10/22/2009 2:17:23 PM |

Select a Survey to associate a Project Priority List with. Surveys will only show if they have Recommendation Details on them and they have been Approved. Selection will launch the Project Priority List Project Creation Wizard.

| Field Name | Required | Description | Special Validation |
|--------------|----------|--|--------------------|
| Organization | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "Organization". | |

5.1.2 - Project Priority List Project Creation Wizard

Step 1 - Choose General Recommendation(s)

Available General Recommendations

Check the general recommendations to be associated.
Then click the Add button.

| <input type="checkbox"/> | Recommendation Type |
|--------------------------|---------------------|
| <input type="checkbox"/> | SR.01 |
| <input type="checkbox"/> | SR.02 |
| <input type="checkbox"/> | SR.03 |
| <input type="checkbox"/> | SR.04 |
| <input type="checkbox"/> | SR.05 |
| <input type="checkbox"/> | SR.06 |

Add

Select from the grid by selecting the checkboxes of those General Recommendation Details that should appear on this Project Priority List

| Field Name | Required | Description | Special Validation |
|------------|----------|---|--------------------|
| Checkbox | ? | Checkbox indicating if the General Recommendation detail will be appear on this Project Priority List | |

Step 2 - Choose Site Improvement(s)

Site: 1 - DAYTONA BEACH CAMPUS ▼

[Available Site Improvements](#)
Check the site improvements to be associated.
Then click the Add button.

| <input type="checkbox"/> Number | Site | Description |
|---------------------------------|----------------------|---|
| <input type="checkbox"/> 1.001 | DAYTONA BEACH CAMPUS | SITE ACQUISITION - Pursuant to Section 1013.40(2), Florida Statutes, a community college must have the specific approval of the Legislature before expending public funds for the acquisition of additional property. |
| <input type="checkbox"/> 1.002 | DAYTONA BEACH CAMPUS | SITE ACQUISITION - Acquire approximately one hundred (100) acres to expand the campus. |

Select from the grid by selecting the checkboxes of those Site Improvements that should appear on this Project Priority List

| Field Name | Required | Description | Special Validation |
|------------|----------|---|--------------------|
| Checkbox | ? | Checkbox indicating if the Site Improvement detail will be appear on this Project Priority List | |

Step 3 - Choose CC Recommendation(s)

Site:

Available Recommendations
Check the recommendations to be associated.
Then click the Add button.

| <input type="checkbox"/> | Number | Site | Description |
|--------------------------|--------|------|--|
| <input type="checkbox"/> | 1.009 | | New Construction: Adding Non-Vocational Labs (160 SS), (10500 NSF), (14914 GSF); Biological Sciences (5250 NSF), Biological Sciences (5250 NSF) |
| <input type="checkbox"/> | 1.010 | | New Construction: Adding Vocational Labs (45 SS), (10035 NSF), (14253 GSF); Emergency Medical Tech. (3345 NSF), Emergency Medical Tech. (3345 NSF), Emergency Medical Tech. (3345 NSF) |

Select from the grid by selecting the checkboxes of those CC Recommendation Details that should appear on this Project Priority List. *Note: Remodeling and Renovation Recommendations are not shown that appear on another PPL Project.* Before completing the wizard, at least one recommendation from either one of the steps must be added to the project. Select the "Finish" button to complete the Create PPL Project Wizard.

| Field Name | Required | Description | Special Validation |
|------------|----------|---|--------------------|
| Checkbox | ? | Checkbox indicating if the CC Recommendation detail is will be appear on this Project Priority List | |

5.2 – Project Priority Lists

Priority Lists ?

Community College:

| | PPL Number | Survey Number | Version Number | Open Date | Status |
|---|------------|---------------|----------------|-----------|-------------|
| Delete Select | 1 | 1 | | 5/20/2011 | In Progress |

This screen displays project priority lists currently in the system for the community college selected in the droplist at the top of the form. The select link takes users to the detail page for the desired priority list. The delete link removes the priority list from the system.

| Field Name | Required | Description | Special Validation |
|-------------------|----------|---|--------------------|
| Community College | Yes | Drop-down list contains a list of all records in "Organization" table with a type of "Community College". | |

5.3 – Project Priority List Details

DAYTONA STATE COLLEGE Project Priority List ?

Created by [Survey 1, Version 1](#) (6/14/2011)

PPL Status: **Approved**

Board Approval Date: / /

Project Priority List Number:

| Project Number | Status | Priority Rank | Description | Project Completed? | Remove from Funding |
|---|------------------------------------|---------------|---|--|-------------------------------------|
| Delete Select 1 | Completed | A ▼ | <input style="width: 100%;" type="text"/> View | <input checked="" type="checkbox"/> <input type="text" value="06"/> / <input type="text" value="13"/> / <input style="border: none; border-bottom: 1px solid #ccc;" type="text" value="2011"/> | <input type="checkbox"/> |
| Delete Select 2 | Removed From Funding Consideration | A ▼ | <input style="width: 100%;" type="text"/> View | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Add Project
Save
Submit
Return to PPL List

This is the details screen for project priority lists. It allows users to see all projects included in the list and assign them ranking values.

| Field Name | Required | Description | Special Validation |
|---------------------|----------|---|--------------------|
| Priority Rank | Yes | Label for the code from PriorityRank table | |
| Board Approval Date | ? | The Date that this Project Priority List is approved by the Board | |

5.4 – Submitted Project Priority Lists

Submitted Priority Lists ?

| | Community College Name | Survey Number | Survey Version | Open Date | Status |
|------------------------|------------------------|---------------|----------------|-----------|-----------|
| Select | DAYTONA STATE COLLEGE | 1 | 1 | 5/20/2011 | Submitted |


Displays all Project Priority Lists that are awaiting Approval.

5.5 – Approval of Project Priority Lists

DAYTONA STATE COLLEGE Project Priority List ?

Created by [Survey 1, Version 1](#) (5/20/2011)

PPL Status: **Submitted**

Board Approval Date: / / 

Project Priority List Number:

| Project Number | Status | Priority Rank | Site(s) | Description | Project Completed? | Remove from Funding |
|---------------------------------|-------------|--------------------------------|----------------------|--|--------------------------|--------------------------|
| Delete Select 1 | In Progress | <input type="text" value="A"/> | DAYTONA BEACH CAMPUS | <input type="text"/> View | <input type="checkbox"/> | <input type="checkbox"/> |

Displays the details of the currently selected Project Priority List and allows for Acceptance or Rejection of the Project Priority List. This functionality is only visible to CC Super Users.

| Field Name | Required | Description | Special Validation |
|------------------------------|----------|---|--------------------|
| Project Priority List Number | Yes | An integer that is auto populated with the next PPL Number. | |

6 - Reports

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

6.1 - Existing and Recommended SF

Report Viewer: Summary of Existing and Recommended Square Footage

To view the selected report, enter the parameters using the controls below, then click the "View Report" button.

COLLEGE Survey Version

Site

of 2

SUMMARY OF EXISTING AND RECOMMENDED SQUARE FOOTAGE

COLLEGE NAME : CENTRAL FLORIDA COMMUNITY COLLEGE

Site Number : 1

Site Name : Non-Specific

| SPACE CATEGORY | 0 - 0 SPACE ALLOCATION | EXISTING INVENTORY SPACE | SPACE DEFICIT OR SURPLUS | CONSTRUCTION ISF | REMODELING ISF | SURVEY RECOMMENDED SPACE |
|-------------------------------|------------------------|--------------------------|--------------------------|------------------|----------------|--------------------------|
| Instructional Spaces : | | | | | | |
| Classrooms | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Non-Vocational Spaces | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Vocational Spaces | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| Physical Education | 20,000.00 | 0.00 | -20,000.00 | 0.00 | 0.00 | 0.00 |
| Subtotal | 20,000.00 | 0.00 | -20,000.00 | 0.00 | 0.00 | 0.00 |

6.2 – Satisfactory Student Stations

Report Viewer: Summary of Satisfactory Student Stations

To view the selected report, enter the parameters using the controls below, then click the "View Report" button.

| | | | | |
|-------------|-------------------------------------|--------|----------------------|---------|
| COLLEGE | 3-CENTRAL FLORIDA COMMUNITY COLLEGE | Survey | Number 1 - Version 1 | View Re |
| Site Number | 1 - Ocala Campus | | | |

1 of 2 | 100% | Find | Next | Select a format | Export

SUMMARY OF SATISFACTORY STUDENT STATIONS


COLLEGE NAME : CENTRAL FLORIDA COMMUNITY COLLEGE
Site Number :
Site Name : Non-Specific

| SPACE CATEGORY | GENERAL CLASSROOMS | NON VOCATIONAL LABS | VOCATIONAL LABS |
|---|--------------------|---------------------|-----------------|
| 0 - 0 Out Year CO-FTE | 0.00 | 0.00 | 0.00 |
| Utilization Index Reciprocal | 0.50 | 0.25 | 0.50 |
| Student Stations Generated | 0.00 | 0.00 | 0.00 |
| Student Stations 0 - 0 | 0.00 | 0.00 | 0.00 |
| Program Facilities List (Under)/Over | 0.00 | 0.00 | 0.00 |

6.3 – Educational Plants Report

Report Viewer: RECOMMENDATIONS FOR EDUCATIONAL PLANTS

To view the selected report, enter the parameters using the controls below, then click the "View Report" button.

| | | | | | | | | | | |
|---|--|--------------------------------|---|--|----------------------------------|-----------------------------------|-------------------------------|--|--|---------------------------------------|
| COLLEGE | <input type="text" value="3-CENTRAL FLORIDA COMMUNITY COLLEGE"/> | Survey | <input type="text" value="Number 1 - Version 1"/> | <input type="button" value="View Report"/> | | | | | | |
| <input type="button" value="⏪"/> | <input type="button" value="⏴"/> | <input type="text" value="1"/> | <input type="text" value="of 1"/> | <input type="button" value="⏵"/> | <input type="button" value="⏩"/> | <input type="text" value="100%"/> | <input type="text" value=""/> | <input type="button" value="Find Next"/> | <input type="text" value="Select a format"/> | <input type="button" value="Export"/> |
|  | | | | | | | | | | |

RECOMMENDATIONS FOR EDUCATIONAL PLANTS

The comprehensive five-year plan for meeting the educational plant needs of the community college is specified in the list of recommendations formulated by the survey team. The plan provides for housing the educational program, student population, faculty, administrators, staff, and auxiliary and ancillary services of the college district.

The recommendations furnish the foundation for adoption of a proposed five-year plan for educational plants of the district by the Board of Trustees, in accordance with Section 235.16, F.S. Similarly, the recommendations serve as the basis for the proposed building program with projects listed in the order of priority, submitted pursuant to Rule 6A-2.0207, FAC, by the Board of Trustees through the Office of Educational Facilities to the State Board of Education for approval. The order of priority of need for projects is established in Rule 6A-2.0206, FAC.

Cost estimates included with the recommendations were current at the time of the survey visit. Estimates are derived from the gross square foot cost of construction of the college used in the legislative capital outlay budget request for the fiscal year in which the survey was conducted.

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|-------------|--------|
| | | |

7.1 – Survey Sections

Current Survey: [BREVARD COMMUNITY COLLEGE - 19.1](#) Community Colleges - Survey Sections User: EUS\kathy.white [\[Edit Profile\]](#)

Survey Sections [?](#)

Use the 'Edit' link below to edit the status and instructional text, and display name of the work plan section.

| ID | Section Name | Status |
|------------------------|---|---------|
| Edit 1 | COFTE Projections | Default |
| Edit 2 | Facility List - General Classroom | Active |
| Edit 3 | Facility List - Fine & Applied Arts | Active |
| Edit 4 | Facility List - Non-Vocational Adult Gen & Prep | Active |
| Edit 5 | Facility List - Agricultural | Active |
| Edit 6 | Facility List - Distributive | Active |
| Edit 7 | Facility List - Health Occupations | Active |

Current Survey: [BREVARD COMMUNITY COLLEGE - 19.1](#) Community Colleges - Survey Sections User: EUS\kathy.white [\[Edit Profile\]](#)

Edit Section

Section Name: *

Instructional Text:

Is Site Dependent?:

Status:

This screen displays the sections of the survey and allows the users to edit each.

7.2 – Fund Expenditure Types

Fund Expenditure Types [?](#)

| ID | Name | Status |
|------------------------|--|---------|
| Edit 1 | Planning | Default |
| Edit 2 | Land Acquisition | Active |
| Edit 3 | Building Construction | Active |
| Edit 4 | Furniture And Equipment | Active |
| Edit 5 | Remodeling, Renovation, Maintenance & Repair | Active |
| Edit 6 | Other Structures & Improvements | Active |
| Edit 7 | Library Books & Films | Active |

[Add New Fund Expenditure Type](#)

Fund Expenditure Types [?](#)

Edit Fund Expenditure Type

Type Name: *

Type Description:

Status:

This screen displays the Fund Expenditure Types and allows the user to edit them.

7.3 – Fund Source Types

Fund Source Types [?](#)

| ID | Name | Status |
|-------------------------|--|---------|
| Edit 1 | Correction Of Fire Safety Deficiencies | Default |
| Edit 2 | Modification For Physically Handicapped | Active |
| Edit 3 | Correction of Safety-To-Life Deficiencies | Active |
| Edit 4 | Removal Of Asbestos | Active |
| Edit 5 | Remodeling/Renovation, Maint./Repair, and Site Improvement | Active |
| Edit 6 | New Construction | Active |
| Edit 7 | Library, Books and Films | Active |
| Edit 8 | Revenue Flowthrough And Interest | Active |
| Edit 9 | Bond Proceeds, SBE Capital Outlay Bonds | Active |
| Edit 10 | State General Revenue | Active |
| Edit 11 | Local Funds | Active |
| Edit 12 | Student Capital Fee | Active |
| Edit 13 | Test | Active |

[Add New Fund Source Type](#)

Fund Source Types [?](#)

Edit Fund Source Type

Type Name: *

Type Description:

Status:

This screen displays the Fund Source Types and allows the user to edit them.

7.4 – General Recommendation Types

General Recommendation Types [?](#)

| ID | Name | Description | Status |
|------------------------|-------|--|---------|
| Edit 1 | SR.01 | Provide for Life-Safety corrections. Pursuant to Section 5.2, SREF. | Default |
| Edit 2 | SR.02 | Provide for modifications for the physically disabled, pursuant to Section 553.501-553.513. | Active |
| Edit 3 | SR.03 | Replace roofs and roofing membranes, pursuant to Section 423.12, Florida Building code. | Active |
| Edit 4 | SR.04 | Replace or purchase of equipment for existing facilities, pursuant to Section 2.1(4)(e)1.b., SREF. | Active |
| Edit 5 | SR.05 | Provide for sanitation facilities for students, staff, and public, pursuant to Section 4.23.15, Florida Building Code. | Active |
| Edit 6 | SR.06 | Provide for custodial facilities, pursuant to Section 4.23.20, Florida Building Code. | Active |

[Add New General Recommendation Type](#)

General Recommendation Types [?](#)

Edit Fund Source Type

Type Name: *

Type Description:

Status:

This screen displays the General Recommendation Types and allows the user to edit them.

7.5 – Cost Per Square Foot

Cost Per Square Foot [?](#)

| ID | Year | Cost |
|------------------------|------|---------|
| Edit 1 | 2008 | \$30.00 |
| Edit 2 | 2009 | \$30.00 |
| Edit 3 | 2010 | \$30.00 |
| Edit 4 | 2011 | \$30.00 |
| Edit 5 | 2012 | \$30.00 |
| Edit 7 | 2014 | \$30.00 |
| Edit 8 | 2013 | \$30.00 |

[Add New Cost Per Square Foot](#)

This screen displays the Cost Per Square Foot and allows the user to edit each.

Revision History

| Date | Person Responsible | Description |
|----------|--------------------|---|
| 12/19/08 | Kathy White | Capture screens from the system |
| 12/23/08 | Kathy White | Updated the field requirements beneath the screens and added the screen descriptions. |
| 1/5/09 | Kathy White | Updates made |
| 7/29/11 | Nikita Sanford | Inserted new section for Project Priority Lists |
| | | |

Functional Design Specifications

Florida Inventory of School Houses (FISH)

Version: 1.91

TABLE OF CONTENTS

| | |
|---|----------|
| DESIGN OVERVIEW | 1 |
| FUNCTIONAL REQUIREMENTS | 2 |
| USER SERVICES..... | 3 |
| 1 – FACILITY FUNCTIONALITY | 3 |
| <i>Requirements Satisfied</i> | 3 |
| 1.1 – Master School Association Screen | 4 |
| 1.2 – Parcel Association Screen | 13 |
| 1.3 - Facility Details Screen..... | 14 |
| 1.4 – View Report Button..... | 15 |
| 1.5 – Facility Search Screen | 16 |
| 1.6 – Facility Deletion Wizard..... | 17 |
| 1.7 – Facility COFTE Information..... | 18 |
| 1.8 – Facility Reevaluation | 19 |
| 1.9 – Facility Business Rules | 21 |
| 2 – PARCEL FUNCTIONALITY | 22 |
| <i>Requirements Satisfied</i> | 22 |
| 2.1 – Parcel Details..... | 22 |
| 2.2 – Parcel Search | 23 |
| 2.3 – Parcel Deletion Wizard..... | 24 |
| 2.4 – Parcel Business Rules | 25 |
| 3 – BUILDING FUNCTIONALITY | 26 |
| <i>Requirements Satisfied</i> | 26 |
| 3.1 – Building Details Screen | 26 |
| 3.3 – Add Rooms Screen | 28 |
| 3.4 – Edit Shelter Details Screen..... | 29 |
| 3.5 – Building Search Screen..... | 30 |
| 3.6 – Building Deletion Wizard | 31 |
| 3.7 – Building Business Rules..... | 31 |
| 4 – ROOM FUNCTIONALITY | 33 |
| <i>Requirements Satisfied</i> | 33 |
| 4.1 – Room Details Screen..... | 33 |
| 4.3 – Room Search Screen | 34 |
| 4.4 – Transfer Relocatable..... | 35 |
| 4.5 – Room Deletion Wizard..... | 37 |
| 4.6 – Room Business Rules | 37 |
| 5 – RECORD NAVIGATION | 39 |
| 5.1 – Result Set Navigation..... | 39 |
| 6 – RECORD APPROVAL..... | 40 |
| <i>Requirements Satisfied</i> | 40 |
| 6.1 – Facility Approval Screen | 40 |
| 7 – RECORD CHANGE TRACKING AND RECOVERY | 41 |
| <i>Requirements Satisfied</i> | 41 |
| 7.1 – Searching for Older Records..... | 41 |
| 7.2 – Facility Recovery Screen | 42 |
| 8 – EVENT LOGGING AND NOTIFICATIONS | 43 |
| <i>Requirements Satisfied</i> | 43 |
| 8.1 District-Level Event Handling | 43 |

| | |
|---|-----------|
| 8.2 Administrator-Level Event Handling | 43 |
| 8.3 Notification E-mail | 44 |
| 8.4 District Contacts..... | 44 |
| 9 - DESIGN CODE MAINTENANCE FUNCTIONALITY | 45 |
| Requirements Satisfied | 45 |
| 9.1 Reference Table Maintenance | 45 |
| 9.2 Adding a new Design Code | 45 |
| 9.3 – Business Rule Validations..... | 46 |
| 9.3.1-Minimum Room Square Foot..... | 46 |
| 9.3.2-Maximum Room Square Foot..... | 46 |
| 9.3.3-Default Minimum Design | 46 |
| 9.3.4-Default Maximum Design | 47 |
| 9.3.5-Design Code..... | 47 |
| REVISION HISTORY | 48 |

Design Overview

The proposed design for the FISH application will allow the user to create and modify inventory data for the school houses and facilities throughout Florida. The system will provide interfaces for entering information about facilities, parcels, buildings, and rooms. Additionally, the system will provide both pre-defined and ad-hoc reports depicting the facility inventory in its database.

Advantages of the proposed system include improved navigability and a clear separation of data-entry tasks. Each task related to the inventory data will be found on its own page in the site. A hierarchical approach will be taken to organize the pages in the application so that related tasks can be grouped together.

The FISH system is one of several applications that all fall under the Educational Facilities Information System (EFIS). The components outlined in this document are specific to the FISH application, but documentation about the EFIS system in general may also be found on the EFIS project portal website.

Functional Requirements

The system requirements specification for the new FISH application can be found on the FISH SharePoint under the "Requirements" document list. Where applicable, elements within this document make reference to specific requirements contained in the requirements specifications.

User Services

1 – Facility Functionality

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---------------------------------|--------|
| 3.1.1.1 | Facility search criteria. | 4.4 |
| 3.8 | Comment tracking functionality. | 4.3 |
| | | |

Step 1 - Choose MSID

Associate Master Schools ?

Search for master schools:

Create an association by searching for the MSID.
Enter the MSID number and click the Search button.

District: 1 ALACHUA COUNTY SCHOOL DISTRICT

MSID:

**Check the MSIDs to be associated.
Then click the Add button.**

| <input type="checkbox"/> | MSID | Name |
|--------------------------|------|--|
| <input type="checkbox"/> | 603 | GAINESVILLE WILDERNESS INSTITUTE |
| <input type="checkbox"/> | 604 | PACE |
| <input type="checkbox"/> | 701 | ALACHUA COUNTY JAIL |
| <input type="checkbox"/> | 950 | THE ONE ROOM SCHOOL HOUSE PROJECT |
| <input type="checkbox"/> | 951 | MICANOPY AREA COOPERATIVE SCHOOL, INC. |
| <input type="checkbox"/> | 954 | LOVE TO LEARN EDUCATIONAL CENTER |

Currently Associated:

| <input type="checkbox"/> | MSID | Name | Status |
|--------------------------|------|------|---------|
| <input type="checkbox"/> | 604 | PACE | Default |

First screen in the Add Facility Wizard. Select an MSID and then click the “ADD” button. The page will refresh showing the selected MSID, click the “Next” button.

| Field Name | Required | Description | Special Validation |
|------------|----------|---|---|
| MSID | Yes | The MSID of the master school the user wishes to associate to the Facility. | |
| District | Yes | The District of the master school the user wishes to associate to the facility. | Must match the district that the facility currently belongs to. |

Step 2 - Facility Details

Facility Details ?

Organization: *

Facility Number: *

Facility Name: *

Facility Suffix: *

Primary Use: *

Capital Outlay: *

Minimum Grade: *

Maximum Grade: *

Contract Issued: * / /

DOE Validation: / /

Reevaluation Status: ▼ Record will be reevaluated normally.

Comments:

Add comment:

The second screen of the Add Facility Wizard. Populate this screen and select the "Next" button.

| Field Name | Required | Description | Special Validation |
|-----------------|----------|---|--|
| Organization | Yes | Values from the organization table. | When accessed by a district user will be preset to that user's district and read-only. |
| Facility Number | Yes | Facility number of the facility being added/edited. | |
| Facility Name | Yes | Name of the facility being added/edited. | Populated from the MSID table during facility creation, read-only afterwards. |
| Facility Suffix | Yes | Codes from suffix table. | |
| Primary Use | Yes | Codes from FacilityUse table. | |

| | | | |
|---------------------|-----|---|-----------------------|
| Capital Outlay | Yes | Codes from CapitalOutlayClassification table. | |
| Minimum Grade | Yes | Codes from the GradeHoused table. | |
| Maximum Grade | Yes | Codes from the GradeHoused table. | |
| Contract Issued | Yes | Date the contract was issued. | Must be a valid date. |
| Validated | No | Validation Date. | Must be a valid date. |
| Reevaluation Status | No | None/Active/Pending Approval/Removed | |
| Comments | No | New comment to be added for the facility. | |

Step 3 - Assign Parcel(s)

Associate Parcels ?

Search for parcels:

Create an association by searching for a parcel.
Enter a Parcel number and click the Search button.

Parcel Number:

Street Address:

**Check the Parcels to be associated.
Then click the Add button.**

| <input type="checkbox"/> | Number | Address |
|--------------------------|--------|----------------------------------|
| <input type="checkbox"/> | 70 | 123 Test St. E |
| <input type="checkbox"/> | 71 | 123 Testing Associate Parcel Rd. |
| <input type="checkbox"/> | 73 | 12 Test Lna |
| <input type="checkbox"/> | 83 | 123 some street |
| <input type="checkbox"/> | 84 | 5063 Gator Lane Test |
| <input type="checkbox"/> | 85 | 5063 Gator Lane#1 |

Currently Associated:

| <input type="checkbox"/> | Number | Address |
|--------------------------|--------|----------------------|
| <input type="checkbox"/> | 84 | 5063 Gator Lane Test |
| <input type="checkbox"/> | 85 | 5063 Gator Lane#1 |

Third screen in the Add Facility Wizard. Select one or more Parcels and select the “Add” button. The selected Parcels will appear under “Currently Associated”. NOTE: Although more than one Parcel can be selected, the wizard will require the user to select one of the parcels in Step 3a, to complete the wizard.

| Field Name | Required | Description | Special Validation |
|----------------|----------|---|-------------------------|
| Parcel Number | No | The parcel number of the parcel being searched for. | Must be a valid number. |
| Street Address | No | Street Address of the parcel being searched for. | |

Step 3a - Choose Parcel

Associate Parcel ?

| Number | Name | Facility | |
|--------|----------------------|----------|---|
| 84 | 5063 Gator Lane Test | PACE | Select |
| 85 | 5063 Gator Lane#1 | PACE | Select |

Currently Associated Parcel:

Parcel Number: 84

Parcel Address: 5063 Gator Lane Test

Previous
Next
Cancel

If more than one Parcel was previously selected, the wizard will require the user to select only one of the parcels to continue using the Add Facility Wizard. Once a parcel is selected, select the “Next” button.

Step 4 - Building Details

Building Details ?

Building Number: *

Building Name:

Building Use: *

Ownership: *

Wall Composition: *

Exterior Wall Finish: *

Corridor: *

Educational TV: *

Cooling: *

Heat Capacity: *

Heat Distribution: *

Heat Source: *

Intercom: *

Lighting Type: *

Light Adequate: *

Public Phone: *

Ventilation Adequate: *

Stories: * Basement Levels: *

Year Constructed: * Year Modified:

Year Demolished:

Comments:

Add comment:

The Add Facility Wizard requires that at least one building is created for each facility. Populate this page and select the "Next" button.

| Field Name | Required | Description | Special Validation |
|-----------------------------|-----------------|--|--------------------------------|
| Building Number | Yes | Number of the building. | Must be a valid number. |
| Building Name | No | Name of the building. | |
| Building Use | Yes | Use type of building. | |
| Ownership | Yes | Ownership type of the building. | |
| Wall Composition | Yes | Type of wall composition used in the building. | |
| Exterior Wall Finish | Yes | Type of exterior finish used in building's walls. | |
| Cooling | Yes | Type of cooling used in the building's interior. | |
| Corridor | Yes | Type of corridor used in building. | |
| Educational TV | Yes | Indicates the type of education TV present in building. | |
| Heat Capacity | Yes | Type of heat capacity present in building. | |
| Heat Distribution | Yes | Type of distribution used with building's heat source. | |
| Heat Source | Yes | Type of heat source present in building. | |
| Intercom | Yes | Type of intercom present in building. | |
| Lighting Type | Yes | Type of lighting present in building. | |
| Lighting Adequate | Yes | Adequacy of the lighting present in building. | |
| Public Phone | Yes | Public phone availability in building. | |
| Ventilation Adequate | Yes | Adequacy of ventilation present in building. | |
| Stories | Yes | Number of stories in building. | |
| Basement Levels | Yes | Number of basement floors in building. | |
| Year Constructed | Yes | Year building was constructed. | |
| Year Modified | No | Year building was last modified. | |
| Year Demolished | No | Year building was demolished. | |
| Comment | No | Text of the comment to be added to the database. | |

Step 5 - Room Details

Room Details ?

Room Number: *

Room Name:

DCA Number: II-B

Condition: * 1 - SATISFACTORY ▼

Design Code: * 1 - PRIMARY CLASSROOM (K-3) ▼

Actual Use: * N/A - Not Applicable ▼

Actual Use Description:

Floor Cover: * 5 - CARPET ▼

Floor Location: * 01 - 1ST FLOOR ▼

Year Constructed: * Year Modified:

Year Demolished: Net Sq. Feet: *

Student Stations:

Reevaluation Enabled:

Comments: ▼

Add comment:

Previous
Finish
Cancel

The Add Facility Wizard requires that at least one room is created for each building in a facility. Populate this page and select the "Finish" button to complete the Add Facility Wizard.

| Field Name | Required | Description | Special Validation |
|----------------|----------|---|---|
| Room Number | Yes | The room number for this room. | Must be a valid number. |
| Room Name | No | The room name for this room. | |
| DCA Number | No | DCA (Florida Department of Community Affairs) assigned number for a relocatable room. | Applicable only to relocatable and modular construction. |
| Condition | Yes | Condition code for this room | Additional codes apply to relocatable and modular construction. |
| Design Code | Yes | Design type of this room | |
| Floor Cover | Yes | Type of floor covering used in this room | |
| Floor Location | Yes | Location Type of the floor in this room | |

| | | | |
|-------------------------------|------------|---|--|
| Actual Use | No | Actual design present in this room | If entered, must differ from the Design Code. |
| Actual Use Description | No | The actual purpose for which this room is being used | |
| Net Sq. Feet | Yes | Net square footage of this room | |
| Student Stations | No | Number of student stations present in room | |
| Year Constructed | Yes | Year room was constructed | |
| Year Modified | No | Year room was last modified | |
| Year Demolished | No | Year room was demolished | |
| Comment | No | Text of the comment to be added to the database. | |

1.2 – Master School Association Screen

Associate Master Schools ?

Search for master schools:

**Create an association by searching for the MSID.
Enter the MSID number and click the Search button.**

District: ALACHUA COUNTY SCHOOL DISTRICT

MSID:

**Check the MSIDs to be associated.
Then click the Add button.**

| <input type="checkbox"/> | MSID | Name |
|--------------------------|------|----------------------------------|
| <input type="checkbox"/> | 82 | HOSPITAL HOMEBOUND |
| <input type="checkbox"/> | 520 | ELEMENTARY SCHOOL "G" |
| <input type="checkbox"/> | 601 | ELEMENTARY SCHOOL "E" |
| <input type="checkbox"/> | 602 | ALACHUA HALFWAY HOUSE |
| <input type="checkbox"/> | 603 | GAINESVILLE WILDERNESS INSTITUTE |
| <input type="checkbox"/> | 604 | PACE |

Currently Associated:

| <input type="checkbox"/> | MSID | Name | Status |
|--------------------------|------|------------------------------------|---------|
| <input type="checkbox"/> | 21 | CHARLES W. DUVAL ELEMENTARY SCHOOL | Default |

This screen will allow users to both create and update Facility to Master School associations. When creating a new facility, this screen will be the first step required to be completed by the user. In order to proceed, at least one MSID must appear in the grid on the left hand side of the screen. When updating an existing facility, the user will not be allowed to disassociate the default MSID from the facility. Users will associate MSIDs by first entering a valid MSID in the search panel. The MSID value entered will be validated against the production MSID table, and the name associated with it will be returned. Users will then be able to create the association by checking the box next to the MSID and clicking "Add". Any MSIDs already associated with other facilities have

their check boxes disabled. Once associated, users may remove an association by checking the box next to the currently associated MSID they wish to remove and clicking the “Remove” button. Users may also change the default MSID for the current facility by clicking the “Set Default” link to the right of the record they wish to set.

| Field Name | Required | Description | Special Validation |
|------------|----------|---|---|
| MSID | Yes | The MSID of the master school the user wishes to associate to the Facility. | |
| District | Yes | The District of the master school the user wishes to associate to the facility. | Must match the district that the facility currently belongs to. |

1.3 – Parcel Association Screen

?
Associate Parcels

Search for parcels:

Create an association by searching for a parcel.
Enter a Parcel number and click the Search button.

Parcel Number:

Street Address:

**Check the Parcels to be associated.
Then click the Add button.**

| <input type="checkbox"/> | Number | Address |
|--------------------------|--------|--------------------|
| <input type="checkbox"/> | 46 | NW 39TH AVENUE |
| <input type="checkbox"/> | 50 | 817 SE 11TH STREET |

Currently Associated:

| <input type="checkbox"/> | Number | Address |
|--------------------------|--------|--------------------|
| <input type="checkbox"/> | 1 | 2106 NE 8TH AVENUE |

This screen will allow users to both create and update Facility to Parcel associations. When creating a new facility, this screen will be the second step required to be completed by the user. In order to proceed, at least one parcel must appear in the grid on the left hand side of the screen. When updating an existing facility, the user will not be allowed to disassociate all parcels from the system (NOTE: Requirement 1.2.4 regarding the details of completely removing these associations will be addressed in a later phase of the project). When creating or

updating associations, users will first locate the parcels they wish to associate by entering search criteria in the search panel. Users will then be able to check the boxes next to the parcel(s) they wish to associate to the current facility and click the “Add” button. Any parcels already associated with another facility will have their checkboxes disabled. Once associated, users may check the boxes next to any parcel records and disassociate them by clicking the “Remove” button.

| Field Name | Required | Description | Special Validation |
|----------------|----------|---|-------------------------|
| Parcel Number | No | The parcel number of the parcel being searched for. | Must be a valid number. |
| Street Address | No | Street Address of the parcel being searched for. | |

1.4 - Facility Details Screen

This screen will allow users to input and update details about facilities within the system. When creating a new facility, this screen will be the third and final step required to be completed by the user. After completing this screen, the new facility record will be committed to the database. When updating an existing facility, any changes made on this screen will be committed immediately, providing they don't violate any business rules.

Facility Details

Organization: * ▼ Unit Testing Organization

Facility Number: *

Facility Name: *

Facility Suffix: * ▼ MULTI-USE/PRIMARILY ANCILLARY WITH SOME COFTE

Primary Use: * ▼ KINDERGARTEN

Capital Outlay: * ▼ SCHOOL CONDITIONALLY RECOMMENDED FOR CONTINUED USE

Minimum Grade: * ▼ GRADE 7

Maximum Grade: * ▼ GRADE 12

Contract Issued: / /

Validated: / /

Reevaluation Status: ▼ Record will be reevaluated normally.

Comments:

Save
Reset
View Report
Remove

| Field Name | Required | Description | Special Validation |
|---------------------|----------|---|--|
| Organization | Yes | Values from the organization table. | When accessed by a district user will be preset to that user's district and read-only. |
| Facility Number | Yes | Facility number of the facility being added/edited. | |
| Facility Name | Yes | Name of the facility being added/edited. | Populated from the MSID table during facility creation, read-only afterwards. |
| Facility Suffix | Yes | Codes from suffix table. | |
| Primary Use | Yes | Codes from FacilityUse table. | |
| Capital Outlay | Yes | Codes from CapitalOutlayClassification table. | |
| Minimum Grade | Yes | Codes from the GradeHoused table. | |
| Maximum Grade | Yes | Codes from the GradeHoused table. | |
| Contract Issued | Yes | Date the contract was issued. | Must be a valid date. |
| Validated | No | Validation Date. | Must be a valid date. |
| Reevaluation Status | No | None/Active/Pending Approval/Removed | |
| Comments | No | New comment to be added for the facility. | |

1.5- View Report Button

The screenshot shows a portion of a web application interface. At the top, there is a label 'Contract Issued:' followed by a date selection widget showing '08 / 31 / 2006' and a small calendar icon. Below this is a label 'Comments:' followed by a text input field containing the placeholder text 'Enter new comment:'. At the bottom of the form area, there are four buttons: 'Save', 'Reset', 'View Report', and 'Delete'. The 'View Report' button is highlighted with a red circle.

Note the “View Report” button at the bottom of the Facility Detail screen. Clicking this button will launch a report screen that will produce a printer-ready report based on the facility currently being viewed. This report will contain all data relevant to the specific facility, including all of the fields present on the details screen, plus information about all associated entities (COFTE, Master School, etc). The user can then view, print, save, or dismiss the report as his leisure).

This “View Report” button appears not only on the Facility Details screen but also on the Parcel, Building and Room Detail screens as well. It operates in similar fashion on these other screens, with the produced report showing data for the appropriate type.

1.6 – Facility Search Screen

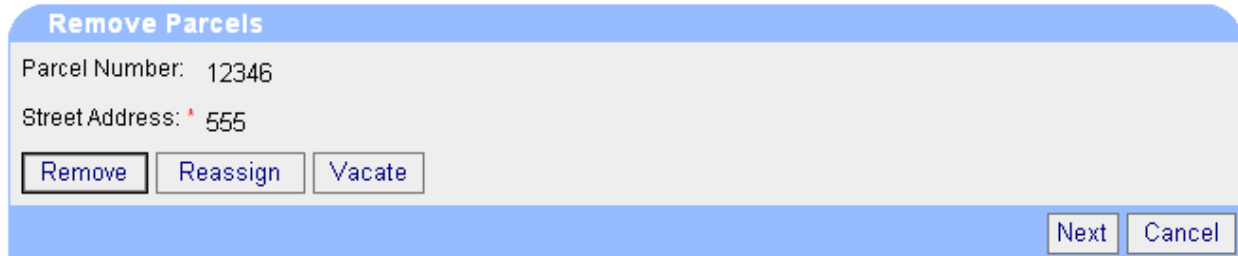
This screen will allow users to search for existing facilities within the system. After receiving a result set matching the search criteria entered, users will be able to select one or more facility records by checking the boxes corresponding to their record in the grid. **(NOTE:** In an effort to conserve bandwidth and system resources, search result sets for all four entities will be limited to 100 per query. This search screen is designed solely for locating specific records, not for searching and browsing an entire inventory. Larger queries will be supported through the ad-hoc reporting component to be constructed in a later phase.) After these have been selected the user can navigate between the various facility-related screens using the buttons below. The selected set of facilities will be persisted until the user either logs out of the system or returns to the search screen and selects a new list. The list of facilities will be shown in a drop-down list near the upper left hand corner of the screen. Users will be able to quickly change the facility currently being viewed and modified by selecting it from this drop-down list.

| Field Name | Required | Description | Special Validation |
|-----------------|----------|--|---|
| Organization | No | Organization code of the facility being searched for. | Will be preset and not updatable for district users. |
| Facility Number | No | Number of the facility being searched for. | |
| Facility Name | No | Name of the facility being searched for. | |
| Facility Suffix | No | Facility Suffix code of the facility being searched for. | |
| Primary Use | No | Primary use code of the facility being searched for. | |
| Capital Outlay | No | Capital Outlay Classification code of the facility being searched for. | |
| Record Status | No | Status of the records desired (pending, active, deleted, etc.) | This option is only available to superusers, all other users will search for active and pending records only. |

1.7 – Facility Deletion Wizard

When the user wishes to delete a facility record from the system, a wizard is used to encapsulate all of the (sometimes complicated) steps involved.

Step 1 - Remove Parcels - (1 of 4)



Remove Parcels

Parcel Number: 12346

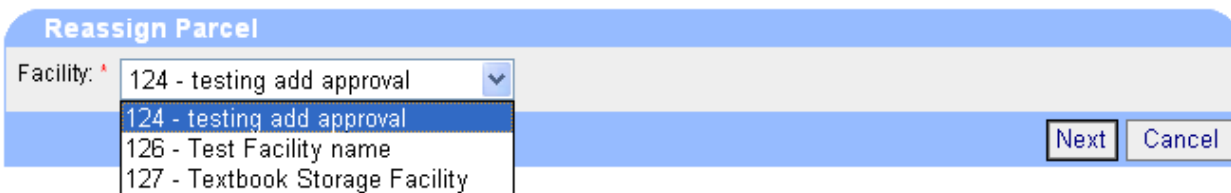
Street Address: * 555

Remove Reassign Vacate

Next Cancel

Step 1 for the user is to choose an action to be taken on the parcels associated with the facility to be deleted (if any). The above screen will be shown once for each parcel. The “Remove” button will send the user to the “Remove Parcel” screen. The “Reassign” button will send the user to the “Reassign Parcel” screen. The “Vacate” button (only available for parcels with no buildings) will remove the parcel’s facility association entirely.

Step 2 - Reassign Parcel



Reassign Parcel

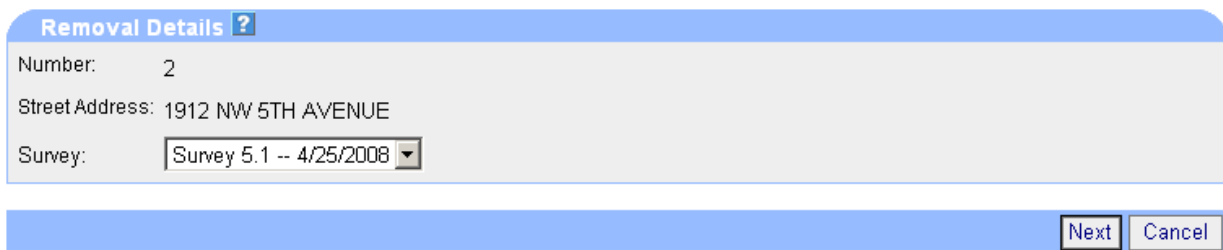
Facility: * 124 - testing add approval

124 - testing add approval
126 - Test Facility name
127 - Textbook Storage Facility

Next Cancel

The “Reassign Parcel” form allows users to select the facility to which they would like to reassign the selected parcel (within the same organization). The user may choose the desired facility from the drop-down list and then click the “Next” button to continue.

Step 2 - Remove Parcel



Removal Details ?

Number: 2

Street Address: 1912 NW 5TH AVENUE

Survey: Survey 5.1 -- 4/25/2008

Next Cancel

The “Remove Parcel” form allows the user to delete parcels from the system. When this is done, data is captured through the form which will be saved along with the final state of the parcel in the parcel history table. The Survey dropdown list data includes the survey number, the version number and the board approval date of the parcel.

Building Removal Wizard ?

Number 1

Name Building Number 00001

Survey: Survey 5.1 -- 4/25/2008 ▾

Year Demolished *

Next Cancel

If the “Remove Details” form is used to remove a parcel with associated buildings, the “Remove Buildings” form will appear. This form allows the user to delete any buildings that are associated with the current parcel, which must be done prior to the parcel deletion. Like the “Remove Parcel” form, this page collects data at the time of deletion for transfer into the appropriate history table. The “Survey” dropdown list will be presented to select the survey number, survey version and Board Approval date to associate the deletion from which Survey plan, and it is required. The “Year Demolished” field will always be presented; however, it is optional for the user.

You are about to delete this facility. Any parcels not designated to be vacated or reassigned will be removed along with any associated buildings and rooms.
Click the 'Finish' button to complete this operation.

Previous Finish Cancel

Once a removal form has been filled out and the user has selected the “Next” button, a confirmation screen will be shown to warn the user that a record is about to be deleted. The user can simply click the “Finish” button to complete the process, or the “Previous” button to return to the previous form.

The facility has been successfully removed.

You may return to the facilities [search page](#).

After all of the associated parcels and their buildings have been reassigned, deleted or vacated, the facility record is moved to the history table and marked as deleted. The user can return to the search page or continue with other tasks.

1.8 – Facility COFTE Information

This screen will allow users to view COFTE (Capital Outlay Full Time Equivalent) data for the given facility. Only super users are allowed to make edits to the COFTE data, and as such the ‘Edit’, ‘Delete’, and ‘Add new...’ links are only visible to super users. The COFTE data is imported to the database from spreadsheets prepared by OEF on a yearly basis.

School Year:

| | | Grade | COFTE |
|----------------------|------------------------|-------|-------|
| Edit | Delete | 01 | 71.50 |
| Edit | Delete | 02 | 74.50 |
| Edit | Delete | 03 | 93.00 |
| Edit | Delete | 04 | 82.58 |
| Edit | Delete | 05 | 94.88 |
| Edit | Delete | KG | 67.50 |

[Add New COFTE Record](#)

When editing or adding a COFTE record, super users use the following screen:

COFTE Information ?

School Year: *

Grade: *

Grade HSD:

| Field Name | Required | Description | Special Validation |
|-------------|----------|--|--------------------|
| School Year | Yes | The school year to which the COFTE record applies. | |
| Grade | Yes | The grade level to which the COFTE record applies. | |
| Grade HSD | Yes | The COFTE value for that grade level. | |

1.9 – Facility Reevaluation

If a record (room, building, parcel, or facility) belongs to a facility that is pending automatic reevaluation, then the fields will be disabled and a status message will appear near the top of the screen informing the user that the record cannot be editing until reevaluation is complete:

Org: 1 - ALACHUA COUNTY SCHOOL DISTRICT

The current record has been queued for reevaluation. No changes may be made to this record until the reevaluation process has completed.

Facility Details ?

Organization: *

The automated reevaluation runs as a background process in one minute intervals, looking for facilities that need to be reevaluated and then performing all of the needed processing and calculations. Once complete, the facility is released again for editing through the system.

Users who wish to work on a facility with interruption from the automated reevaluation process can temporarily “pause” reevaluation from being run on the facility. This allows them to do things like add, update, or remove buildings or rooms (things that would normally trigger reevaluation) without having to stop and wait for reevaluation to run between each operation. The facility can be paused from the main facility details screen by selecting the appropriate value in the ‘Reevaluation Status’ drop down and clicking save, or by using the ‘Pause’ link that is available near the top of the screen whenever the user is viewing parcel, building, or room records beneath that facility:

Reevaluation Status: Record will be reevaluated normally.

Org: 1 - ALACHUA CO || Facility: 4-A Q JONES [Pause] || Parcel: 4-1108 NW 7T

Building Details ?
 Building Number: *

NOTE: Super users have more reevaluation options available to them, including indefinitely disabling reevaluation from running on an entire facility or just one particular room. More information on this can be found in the 'Fish Reevaluation Design Spec' available on the EFIS project portal website.

Facilities that have been “paused” can be later be resumed using the same controls used to pause them in the first place. Once resumed, reevaluation will be queued immediately. Any facility that has been paused for more than 10 days will be automatically reevaluated. Any user who wishes to see how many facilities have been paused, disabled, or are currently pending reevaluation can do so from the main FISH home page:

Inventory Reevaluation Status

Filter Reevaluation Status ?

District: ALACHUA COUNTY SCHOOL DISTRICT

| Number | Name | Status |
|--------|----------------------------|---------|
| 1 | CHARLES W DUVAL ELEMENTARY | Pending |

1.10 – Facility Business Rules

Defaults

- 1) **[1.1.5]** The Facility Number field is automatically generated and must be unique within the district.
- 2) **[1.1.11, 1.1.6]** The default Facility Use code is 01 (Vacant)

Entity Integrity

- 1) **[1.1.8]** The Contract Issue Date field must be between 1/1/1852 and the current system date
- 2) **[1.1.9]** The Minimum Recommended Grade Housed field must be less than or equal to the Maximum Recommended Grade Housed field
- 3) **[1.1.10]** The Validation Date field must be between the Contract Issued Date field and the current system date
- 4) The Facility's Suffix, Capital Outlay and Minimum and Maximum grades must have Instructional Status values which adhere to the following rules:
 - a. If the Facility Suffix is Non-Instructional, then the Capital Outlay must either be Non-Instructional or both Instructional and Non-Instructional
 - b. If the Facility Suffix is Instructional, then the Capital Outlay must either be Instructional or both Instructional and Non-Instructional
 - c. If the Capital Outlay is Instructional, then the Maximum and Minimum Grades Housed must also be Instructional
 - d. If the Capital Outlay is both Instructional and Non-Instructional, then the Minimum and Maximum Grades Housed must also be both Instructional and Non-Instructional and equal to each other
 - e. If the Capital Outlay is Non-Instructional, then the Minimum and Maximum Grades Housed must also be Non-Instructional and equal to each other

Relational Integrity

- 1) **[1.1.2]** All facilities must have at least one parcel assigned to them at all times.
- 2) **[1.1.16]** COFTE must exist for any MSID values to be assigned to a facility with an instructional Facility Use code
- 3) **[1.5.3]** Facilities must have one or more active MSID associated with them
- 4) **[1.5.3.1]** No facility can share an MSID with another, except for facilities with ancillary Facility Use codes, which may share the ancillary MSID, 09001

Security

- 1) **[1.1.5]** Only super users can reuse Facility Number values
- 2) **[1.1.10]** The Validation Date field is editable only by OEF staff and super users
- 3) **[1.1.12]** If a facility has an instructional Facility Use code, the Facility Use field cannot be changed by district users
- 4) **[1.1.15]** Only super users can update the Capital Outlay, Primary Use, Minimum Grade and Maximum Grade fields

2 – Parcel Functionality

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---------------------------------|--------|
| 3.1.1.1 | Parcel search criteria. | 5.2 |
| 3.8 | Comment tracking functionality. | 5.1 |

2.1 – Parcel Details

Parcel Details ?

Parcel Number: *

Street Address: *

City: *

State:

Zip: * -

Acquired: * / /

Acreage: *

Athletic Field: *

Building Plan: *

Drainage: *

Fire Code: *

Landscape: *

Owner: *

Lease Expiration: / /

Parking: *

Playground: *

Police: *

Sewage: *

Water Source: *

Comments:

Add comment:

This screen will allow users to input and update parcel records. This screen represents the single required step for creating a new parcel. All parcel associations are handled in other areas of the application.

| Field Name | Required | Description | Special Validation |
|------------------|----------|--|--|
| Parcel Number | Yes | Parcel Number | |
| Street Address | Yes | Street address of the parcel. | |
| City | Yes | City where the parcel is located. | |
| State | Yes | State where the parcel is located. | Must be "FL" |
| Zip | Yes | Zip code where the parcel is located | First five digits must be provided, last four are optional. |
| Acquired | Yes | Date on which the acreage was acquired. | |
| Lease Expiration | No | Date on which the lease of the parcel expires. | This field is required if the owner code is anything but School Board. |
| Acreage | Yes | Total acreage of the parcel. | |
| Building Plan | Yes | Building plan code of the parcel. | |
| Athletic Field | Yes | Athletic field code of the parcel. | |
| Drainage | Yes | Drainage code of the parcel. | |
| Fire Code | Yes | Fire code of the parcel. | |
| Landscape | Yes | Landscape code of the parcel. | |
| Owner | Yes | Owner code of the parcel. | |
| Parking | Yes | Parking code of the parcel. | |
| Playground | Yes | Playground code of the parcel. | |
| Police | Yes | Police code of the parcel. | |
| Sewage | Yes | Sewage code of the parcel. | |
| Water Source | Yes | Water source code of the parcel. | |
| Comments | No | New comment being entered for the parcel. | |

2.2 – Parcel Search

The screenshot shows a search interface with the following elements:

- Search** (Section Header)
- Organization: (dropdown)
- Facility Number:
- Parcel Number:
- Street Address:
- City:
- Record Status: (dropdown)
-
-

This screen will allow users to search for existing parcels within the system. After receiving a result set matching the search criteria entered, users will be able to select one or more parcel records by checking the boxes corresponding to their record in the grid. After these have been selected the user can navigate to the parcel details page by clicking the "Edit Record(s)" button below. The selected set of facilities will be persisted until the user either logs out of the system or returns to the search screen and selects a new list. The list of facilities will be shown in a drop-down list near the upper left hand corner of the screen. Users will be able to quickly change the facility currently being viewed and modified by selecting it from this drop-down list.

| Field Name | Required | Description | Special Validation |
|-----------------|----------|--|---|
| Organization | No | The organization to which the parcel being searched for belongs. | For district users this will be preset and read-only. |
| Facility Number | No | Number of the facility to which the parcel belongs. | |
| Parcel Number | No | Number of the parcel being searched for. | |
| Street Address | No | Address of Parcel | |
| City | No | City Parcel is located | |
| Record Status | No | Status of the records searched (pending, active, deleted, etc.) | This option is only available to super users. |

2.3 – Parcel Deletion Wizard

Step 1 - Remove Parcel

Removal Details ?

Number: 2

Street Address: 1912 NW 5TH AVENUE

Survey:

The Remove Parcel form allows the user to delete parcels from the system. When a parcel delete is processed data is captured through the form that will be saved along with the final state of the parcel in the parcel history table. This data includes a Survey dropdown list showing the survey number, the version number and the board approval date for the parcel deletion.

Step 2 - Remove Building(s) - (2 of 14)

Building Removal Wizard ?

Number 1

Name Building Number 00001

Survey:

Year Demolished *

If the “Remove Parcel” form is used to remove a parcel with associated buildings, the “Remove Buildings” form will appear. This form allows the user to delete any buildings that are associated with the current parcel, which must be done prior to the building deletion. Like the “Remove Parcel” form, this page collects data at the time of deletion for transfer into the appropriate history table. The “Survey” dropdown list shows the survey number, survey version and Board Approval Date of the building to be deleted. The “Year Demolished” field will always be presented; however, it is optional for the user.

Confirm Removal

You are about to delete this parcel along with all associated buildings and rooms. Are you sure?

Finish Cancel

Once a removal form has been filled out and the user has selected the “Next” button, a confirmation screen will be shown to warn the user that a record is about to be deleted. The user can simply click the “Finish” button to complete the process, or the “Previous” button to return to the previous form.

The parcel has been successfully removed.

You may return to the parcels [search page](#).

Once all associated buildings have been removed, the parcel is then marked as deleted and moved to the history table. The user can return to the search page or continue with other tasks.

2.4 – Parcel Business Rules

Defaults

- 1) **[1.2.2]** The Parcel Number field is automatically generated. It must be unique within the parcel's district.
- 2) **[1.2.8]** The default Owner field value is 05 (School Board).
- 3) **[1.2.9]** The default Building Plan field value is 00 (None on Parcel).

Entity Integrity

- 1) **[1.2.5.1]** The Acreage field must be between 0.001 and 999999.999.
- 2) **[1.2.7]** The Date Acquired field must fall between 1/1/1852 and the current system date.

Relational Integrity

- 1) **[1.2.4.1]** A parcel cannot be disassociated from a facility if it is the only parcel associated with that facility.
- 2) **[1.2.4.2, 1.2.4.3]** A parcel cannot have building associations unless it is first associated with a facility.
- 3) **[1.2.8]** Any parcel with an Owner code value that is not 05 (School Board) must have a valid date present in the Lease Expiration Field.
- 4) **[1.1.7]** When adding parcels to a facility, only those parcels not already assigned to facilities will be available for associating.

Security

- 1) **[1.2.2, 1.1.13]** Only superusers can edit Parcel Number values, and only superusers can reuse Parcel Number values
- 2) **[1.2.10.1]** During edits made by district users, the value of the Lease Expiration Date field must exceed that of the Acquired Date field by at least 40 years
- 3) **[1.2.10.2]** Super users may set the value of the Lease Expiration Date field to any date that is equal to or greater than the Acquired date (no margin is necessary)

3 – Building Functionality

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---------------------------------|--------|
| 3.1.1.1 | Building search criteria. | 6.3 |
| 3.8 | Comment tracking functionality. | 6.2 |

3.1 – Building Details Screen

Building Details ?

| | | | |
|-------------------------|---|--------------------|--------------------------------|
| Building Number: * | <input type="text" value="1"/> | | |
| Building Name: | <input type="text" value="Building Number 00001"/> | | |
| Building Use: * | <input type="text" value="8 - EXCEPTIONAL STUDENT"/> | | |
| Ownership: * | <input type="text" value="5 - SCHOOL BOARD"/> | | |
| Wall Composition: * | <input type="text" value="4 - COMBINATION OF 1-3"/> | | |
| Exterior Wall Finish: * | <input type="text" value="6 - COMBINATION OF 1-5"/> | | |
| Corridor: * | <input type="text" value="2 - DOUBLE INSIDE"/> | | |
| Educational TV: * | <input type="text" value="2 - COMMERCIAL CABLE"/> | | |
| Cooling: * | <input type="text" value="3 - INDIVIDUAL UNITS"/> | | |
| Heat Capacity: * | <input type="text" value="1 - ADEQUATE"/> | | |
| Heat Distribution: * | <input type="text" value="12 - INDIVIDUAL UNIT REVERSE CYCLE"/> | | |
| Heat Source: * | <input type="text" value="3 - ELECTRIC"/> | | |
| Intercom: * | <input type="text" value="1 - TWO WAY COMPLETE"/> | | |
| Lighting Type: * | <input type="text" value="5 - SHIELDED FLOURESCENT"/> | | |
| Light Adequate: * | <input type="text" value="1 - ADEQUATE"/> | | |
| Public Phone: * | <input type="text" value="2 - PARTIAL SYSTEM"/> | | |
| Ventilation Adequate: * | <input type="text" value="1 - ADEQUATE"/> | | |
| Stories: * | <input type="text" value="2"/> | Basement Levels: * | <input type="text" value="0"/> |
| Year Constructed: * | <input type="text" value="1923"/> | Year Modified: | <input type="text"/> |
| Year Demolished: | <input type="text"/> | | |

Comments:

Add comment:

- Save
- Reset
- View Report
- Remove
- Add Rooms
- Edit Shelter Info

This screen will allow users to input and update details about buildings within the system. When creating a new building, this screen will be the second step to be completed by the user. After completing this screen, the new building record will be committed to the database. When updating an existing building, any changes made on this screen will be committed immediately, providing they don't violate any business rules.

The smaller form at the bottom of the page displays comments that have been entered into the system about the current record. The user can click the small blue triangle to toggle the visibility of the comment list. In addition the user can enter the text for a new comment into the textbox beneath the form and click the add button to create a new comment for the current record.

In addition to the normal save/reset/view report/remove buttons, this form contains an "Add Rooms" button. Clicking this button will launch the Add Rooms screen, allowing the user to quickly add new room records and associate them with this building.

| Field Name | Required | Description | Special Validation |
|----------------------|----------|---|-------------------------|
| Building Number | Yes | Number of the building. | Must be a valid number. |
| Building Name | No | Name of the building. | |
| Building Use | Yes | Use type of building. | |
| Ownership | Yes | Ownership type of the building. | |
| Wall Composition | Yes | Type of wall composition used in the building. | |
| Exterior Wall Finish | Yes | Type of exterior finish used in building's walls. | |
| Cooling | Yes | Type of cooling used in the building's interior. | |
| Corridor | Yes | Type of corridor used in building. | |
| Educational TV | Yes | Indicates the type of education TV present in building. | |
| Heat Capacity | Yes | Type of heat capacity present in building. | |
| Heat Distribution | Yes | Type of distribution used with building's heat source. | |
| Heat Source | Yes | Type of heat source present in building. | |
| Intercom | Yes | Type of intercom present in building. | |
| Lighting Type | Yes | Type of lighting present in building. | |
| Lighting Adequate | Yes | Adequacy of the lighting present in building. | |
| Public Phone | Yes | Public phone availability in building. | |
| Ventilation Adequate | Yes | Adequacy of ventilation present in building. | |
| Stories | Yes | Number of stories in building. | |
| Basement Levels | Yes | Number of basement floors in building. | |
| Year Constructed | Yes | Year building was constructed. | |
| Year Modified | No | Year building was last modified. | |
| Year Demolished | No | Year building was demolished. | |
| Comment | No | Text of the comment to be added to the database. | |

3.3 – Add Rooms Screen

Room Details

Room Number: *

Room Name:

DCA Number:

Condition: * 1 SATISFACTORY

Design Code: * 1 PRIMARY CLASSROOM (K-3)

Actual Use: * N/A Not Applicable

Actual Use Description:

Floor Cover: * 5 CARPET

Floor Location: * 01 1ST FLOOR

Year Constructed: * Year Modified:

Year Demolished: Net Sq. Feet: *

Student Stations:

Reevaluation Enabled:

Comments:

Add Room

Rooms Pending: **0**

This screen allows the user to add rooms to a building in rapid succession. The user first enters data for the new room into the text and selects from the drop-down fields. The user can then click the “Add Room” button to save the data in the form to persistent storage and clear the fields for another entry.

| Field Name | Required | Description | Special Validation |
|----------------|----------|---|---|
| Room Number | Yes | The room number for the new room. | |
| Room Name | No | The room name for the new room. | |
| DCA Number | No | DCA number for this room. | Applicable only to relocatable and modular construction. |
| Condition | Yes | Condition code for this room. | Additional codes apply to relocatable and modular construction. |
| Design Code | Yes | Design type of this room. | |
| Floor Cover | Yes | Type of floor covering used in this room. | |
| Floor Location | Yes | Location Type of the floor in this room. | |

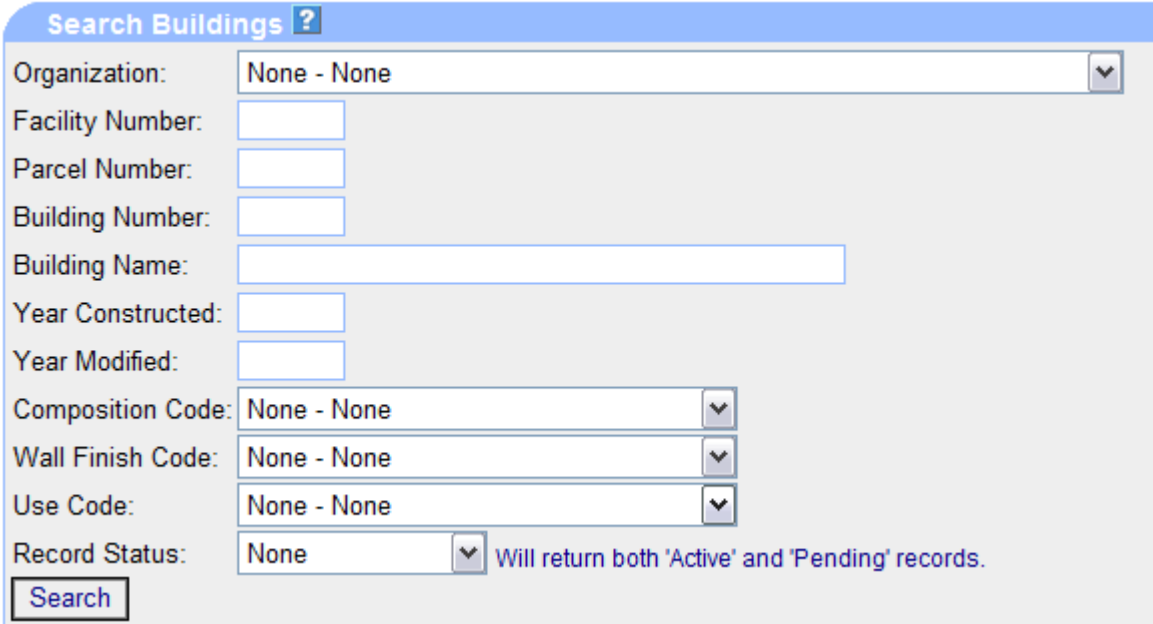
| | | | |
|------------------------|-----|---|--|
| Actual Use | No | Actual design present in this room. | If entered, must be distinct from Design Code. |
| Net Sq. Feet | Yes | Net square footage of this room. | |
| Student Stations | No | Number of student stations present in room. | |
| Year Constructed | Yes | Year room was constructed. | |
| Year Modified | No | Year room was last modified. | |
| Year Demolished | No | Year room was demolished. | |
| Actual Use Description | No | The actual purpose for which this room is being used. | |

3.4 – Edit Shelter Details Screen

This screen will allow users to input and update details about building's shelter system. The user first enters the shelter data for the building into the text and selects from the drop-down fields. The user can then click the "Save" button to save the data in the form to persistent storage.

| Field Name | Required | Description | Special Validation |
|--------------|----------|---|----------------------------------|
| Shelter Type | No | The type of shelter. | |
| Cost | No | The cost of the shelter. | |
| Capacity | No | Facility code number for which to search. | Must be a valid positive number. |
| Wind Rating | No | Wind rating in miles per hour of the shelter. | |
| Description | No | Description of the shelter. | |

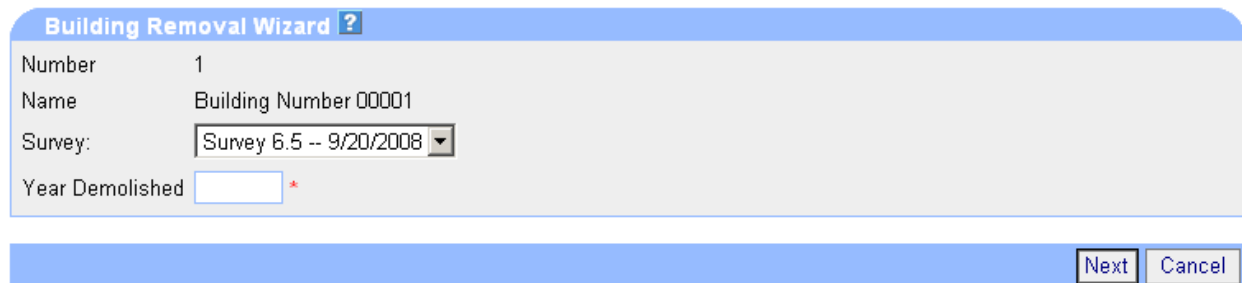
3.5 – Building Search Screen



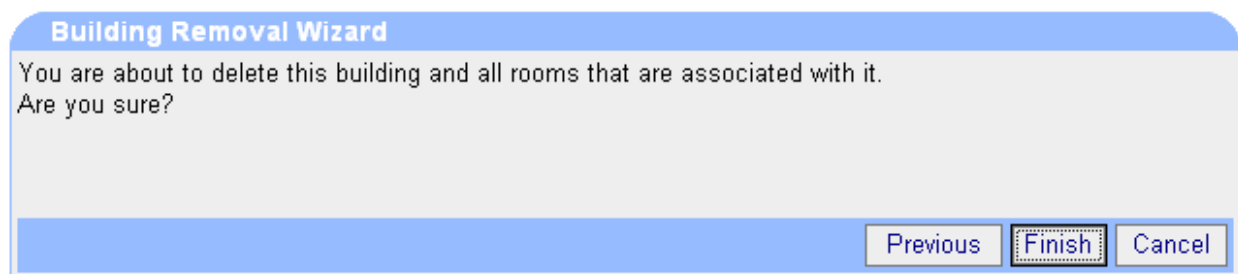
This screen will allow users to search for existing buildings within the system. After receiving a result set matching the search criteria entered, users will be able to select one or more building records by checking the boxes corresponding to the desired records in the grid. After these have been selected the user can navigate to the building edit screens by clicking the “Edit Record(s)” button below. The selected set of buildings will be persisted until the user either logs out of the system or returns to the search screen and selects a new list. The list of buildings will be shown in a drop-down list near the upper left hand corner of the screen. Users will be able to quickly change the building currently being viewed and modified by selecting it from this drop-down list.

| Field Name | Required | Description | Special Validation |
|------------------|----------|---|---|
| Organization | No | Code for the Organization to search. | |
| Facility Number | No | Facility code number for which to search. | |
| Parcel Number | No | Parcel code number for which to search. | |
| Building Number | No | Building number for which to search. | |
| Building Name | No | Building name for which to search. | |
| Year Constructed | No | Construction year for which to search. | |
| Year Modified | No | Modification year for which to search. | |
| Composition Code | No | Composition code for which to search. | |
| Wall Finish Code | No | Wall finish code for which to search. | |
| Use Code | No | Use code for which to search. | |
| Record Status | No | Status of the records searched (pending, active, deleted, etc.) | This option is only available to super users. |

3.6 – Building Deletion Wizard



The “Remove Building” form allows the user to delete any buildings from the system. This page collects data at the time of deletion for transfer into the appropriate history table. The “Survey” dropdown list shows the survey number, survey version and Board Approval Date of the survey to associate the building with. The Year Demolished field will always be presented; however, it is optional for the user.



Once a removal form has been filled out and the user has selected the “Next” button, a confirmation screen will be shown to warn the user that a record is about to be deleted. The user can simply hit the Next button to complete the process, or the “Previous” button to return to the previous form.

search page.'." data-bbox="125 512 654 592"/>

After the user has clicked through the confirmation screen, the building is marked as deleted and moved to the history table. The user can return to the search page or continue with other tasks.

3.7 – Building Business Rules

Defaults

1. **[1.3.9]** The Number of Stories field has a default value of 1.

Entity Integrity

1. **[1.3.13.1]** The Year Demolished field’s value must be greater then or equal to the Year Modified value (if present) and the Year Constructed value.

Relational Integrity

1. **[1.3.1]** Buildings must be associated with exactly one parcel.
2. **[1.3.2]** The Building Number of all buildings on a parcel must be unique.
3. **[1.3.11.1]** If the Heat Source field holds a value of "None", the Heat Capacity and Heat Distribution fields must also hold values of "None".
4. **[1.3.11.1]** If the Heat Source field holds a value other than "None", the Heat Capacity and Heat Distribution fields must also hold values other than "None".
5. **[1.4.6]** If a relocatable building has associated room records, the building's Year Constructed field value must be made equal to the earliest Year Constructed field value of the relocatable room records.
6. **[1.3.3]** A group of relocatable rooms can be treated as a single building. In this case the building record must have a Structural Composition Code of 05, an Exterior Wall Finish Code of 08, and a Mechanical Ventilation Code of 00.
7. **[1.3.6]** Buildings with Structural Composition Codes between 06 and 13 must have an Exterior Wall Finish Code of 09.
8. **[1.3.7]** If a relocatable building is transferred from one facility to another, the building and all room numbers should remain the same. The DCA Number must remain unchanged, though it can be edited if necessary by superusers.

Security

1. **[1.3.12]** For new construction, the Year Constructed field must be equal to or greater than the facility's Contract Issue Date field
2. For property acquisition that has existing structures that will be remodeled/renovated for educational purposes, the Year Constructed field may be older than the Contract Issue Date; however, the Year Constructed date must be entered by a superuser.

4 – Room Functionality

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---------------------------------|--------|
| 3.1.1.1 | Room search criteria. | 7.3 |
| 3.8 | Comment tracking functionality. | 7.2 |
| 1.3.5 | Transfer Relocatable | 7.4 |

4.1 – Room Details Screen

Room Details ?

Room Number: *

Room Name:

DCA Number:

Condition: *

Design Code: *

Actual Use: *

Actual Use Description:

Floor Cover: *

Floor Location: *

Year Constructed: * Year Modified:

Year Demolished: Net Sq. Feet: *

Student Stations:

Reevaluation Enabled:

Comments:

Add comment:

|

This screen will allow users to input and update details about rooms within the system. When creating a new room, this screen will be the second and final step required to be completed by the user. After completing this screen, the new room record will be committed to the database. When updating an existing room, any changes made on this screen will be committed immediately, providing they don't violate any business rules.

The smaller form at the bottom of the page displays comments that have been entered into the system about the current record. The user can click the small blue triangle to toggle the visibility of the comment list. In

addition the user can enter the text for a new comment into the textbox beneath the form and click the add button to create a new comment for the current room.

| Field Name | Required | Description | Special Validation |
|------------------------|----------|---|---|
| Room Number | Yes | The room number for this room. | Must be a valid number. |
| Room Name | No | The room name for this room. | |
| DCA Number | No | DCA (Florida Department of Community Affairs) assigned number for a relocatable room. | Applicable only to relocatable and modular construction. |
| Condition | Yes | Condition code for this room | Additional codes apply to relocatable and modular construction. |
| Design Code | Yes | Design type of this room | |
| Floor Cover | Yes | Type of floor covering used in this room | |
| Floor Location | Yes | Location Type of the floor in this room | |
| Actual Use | No | Actual design present in this room | If entered, must differ from the Design Code. |
| Actual Use Description | No | The actual purpose for which this room is being used | |
| Net Sq. Feet | Yes | Net square footage of this room | |
| Student Stations | No | Number of student stations present in room | |
| Year Constructed | Yes | Year room was constructed | |
| Year Modified | No | Year room was last modified | |
| Year Demolished | No | Year room was demolished | |
| Comment | No | Text of the comment to be added to the database. | |

4.3 – Room Search Screen

Search Rooms ?

Organization:

Facility Number:

Parcel Number:

Building Number:

Room Number:

Room Name:

Year Constructed:

Year Modified:

Structure Type:

Floor Location:

Wall Finish Code:

Condition Code:

Design Code:

Record Status: Will return both 'Active' and 'Pending' records.

This screen will allow users to search for existing rooms within the system. After receiving a result set matching the search criteria entered, users will be able to select one or more room records by checking the boxes corresponding to the desired records in the grid. After these have been selected the user can navigate to the room details page by clicking on the “Edit Records” button below. The list of rooms will be shown in a drop-down list near the upper left hand corner of the screen. Users will be able to quickly change the room currently being viewed and modified by selecting it from this drop-down list. The selected set of rooms will be persisted until the user either logs out of the system or returns to the search screen and selects a new list.

| Field Name | Required | Description | Special Validation |
|------------------|----------|---|---|
| Organization | No | Organization number for which to search. | |
| Facility Number | No | Facility number for which to search. | |
| Parcel Number | No | Parcel number for which to search. | |
| Building Number | No | Building number for which to search. | |
| Room Number | No | Room number for which to search. | |
| Room Name | No | Room name for which to search. | |
| Year Constructed | No | Construction year for which to search. | |
| Year Modified | No | Modification year for which to search. | |
| Structure Type | No | Structure Type for which to search. | |
| Wall Finish Code | No | Wall Finish Code for which to search. | |
| Condition Code | No | Condition Code for which to search. | |
| Design Code | No | Design Code for which to search. | |
| Record Status | No | Status of the records desired (pending, active, deleted, etc.). | This option is available only to super users. |

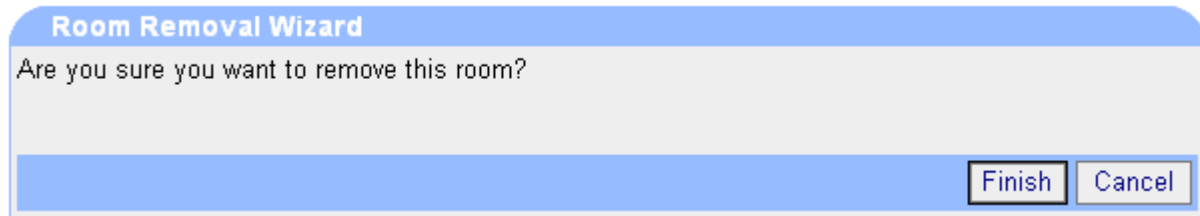
4.4 – Transfer Relocatable

This screen allows users to transfer room records that represent transportable spaces from one building to another. This is a useful tool for moving relocatable classrooms from one school site to another without having to delete them from one facility and then add them to another facility. The user first selects a facility from the drop-down list. The List of Relocatable Buildings is then populated with all buildings in those facilities which have a structure type of Relocatable. Also present in the drop-down list is an item called “New Relocatable Building”. Selecting this item will allow the user to create a completely new building record to which to move the rooms. This is useful if the desired facility does not already have a building with a structure type of Relocatable.

From this second drop-down the user selects the desired building, and then clicks the “Move” button to transfer the records from one association to the other. If the user changes his mind, the cancel button will return him to the previous form.

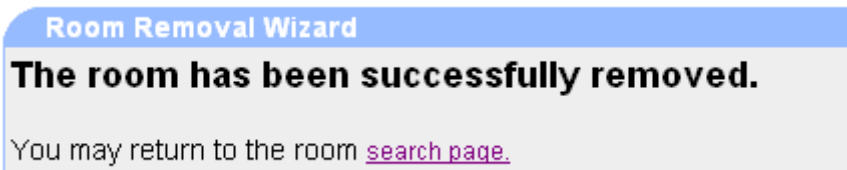
| Field Name | Required | Description | Special Validation |
|--------------------------------------|---------------------|--|---|
| DCA Number | Display Only | Displays the DCA number of the room selected for transfer | Applicable only to relocatable and modular construction. |
| Room Number | Yes | Displays the room number of the selected room for editing. | |
| List of Facilities | Yes | Displays a list of facilities to choose from | |
| List of Relocatable Buildings | Yes | Displays a list of buildings to which the room record can be transferred. | |

4.5 – Room Deletion Wizard



The screenshot shows a dialog box titled "Room Removal Wizard". The main text asks, "Are you sure you want to remove this room?". At the bottom right, there are two buttons: "Finish" and "Cancel".

The "Room Deletion" form displays a confirmation message. The user can click the "Finish" button to complete the operation, which will mark the room record as deleted and move it to the history table. If the user decides not to delete the room, the cancel button will navigate him back to the previous form.



The screenshot shows a message box titled "Room Removal Wizard". The main text reads, "The room has been successfully removed." Below this, it says, "You may return to the room [search page](#)."

After the user has navigated through the confirmation screen, the room is marked as deleted and moved to the history table. The user can return to the search page or continue with other tasks.

4.6 – Room Business Rules

Defaults

- 1) **[1.4.4.1, 1.4.4.2, 1.4.4.2.1]** The default value for the Design field is 00317 (General School Space) for a relocatable classroom that fails standards.
- 2)

Entity Integrity

- 1) **[1.4.8]** The Year Demolished field's value must be greater than or equal to the Year Modified value (if present) and the Year Constructed value
- 2) **[1.4.11]** The Net Square Feet field value must be between 1 and 999999
- 3) **[1.4.12]** The Student Station value must be between 0 and 999999
- 4) A Room Record can have a Condition Code of 03 (Fails Standards) or 04 (Scheduled for Replacement), only if the Wall Composition Code of the parent Building is between 05 and 13.

Relational Integrity

- 1) **[1.4.1]** Rooms must be associated with exactly one building
- 2) **[1.4.2]** Room Number field values must be five characters or less, alphanumeric and unique within a single building
- 3) **[1.4.4]** If a relocatable room has a Condition code value of "Fails Standards", Its Design Code must be set to a non-instructional value
- 4) **[1.4.5]** For permanent rooms, the Year Constructed field must be equal to or later than that of the associated building
- 5) **[1.4.7.1]** Relocatable or modular classrooms without DCA Numbers cannot be assigned an instructional Design Code or a Condition Code of "Satisfactory".
- 6) **[1.4.10]** Permanent room records must not have Condition Codes of 03 or 04.

- 7) **[1.4.13]** The Floor Location field value cannot be greater than the Number of Stories field value of the associated building.

Security

- 1) **[1.4.7]** Once a relocatable room is added to the system, the DCA Number field may be edited only by superusers.

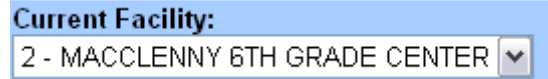
Rules Imported from Reevaluation Routine

- 1) Rooms within a Facility with a Facility Use value of 02, 03, or 04 cannot have a Design Code of 800, or a Code between 200 and 272 or 847 and 870. The suggested alternative is Design Code 002.
- 2) A Room cannot have a Net Square Footage value which is larger than the Maximum Square Footage value associated with its Design Code. The suggested alternative is to use the current Design Code's DefaultMaxDesignID in its place.
 - a. In the case of Room records within a Building that has Use Code of 25 (ESE) and a Facility that has use code 02, 03, or 04, and that themselves have a design code of 63, the suggested alternative is 61.
 - b. If the Room has a Design Code of 65, and the associated Facility has a Facility Use Code of 02, 03, 04 or 05, the proper alternative is 01
 - c. If the Room has a Design Code of 66, and the associated Facility has a Facility Use Code of 02, 03, or 04, the proper alternative is 01
- 3) A Room cannot have a Net Square Footage value which is smaller than the Minimum Square Footage value associated with its Design Code. The suggested alternative is to use the current Design Code's DefaultMinDesignID in its place.
 - a. In the case of Room records within Buildings that have a use code of 25 (ESE), there are several exceptions:
 - i. If the Room has a Design Code of 61, 62, 64 or 66, and the associated Facility has a Facility Use Code of 02, 03, or 04, then the proper alternative Design Code is 01
 - ii. If the Room has a Design Code of 65, and the associated Facility has a Facility Use Code of 02, 03, 04 or 05, then the proper alternative Design Code is 01
 - iii. If the Room has a Design Code of 66, and the associated Facility has a Facility Use Code of 02, 03, or 04, then the proper alternative Design Code is 01
 - iv. If the Room has a Design Code of 63, the proper alternative Design Code is determined by the Facility Use Code of the associated Facility:
 1. Facility Use Codes 02, 03, and 04 correspond with the 01 Design Code
 2. Facility Use Codes 05 and 06 correspond with the 02 Design Code
 3. Facility Use Codes 07 and 09 correspond with the 03 Design Code

5 – Record Navigation

| Requirement # | Description | Screen |
|---------------|--|--------|
| 3.1.2 | Quick navigation between records selected in a result set. | |

5.1 – Result Set Navigation



After performing a search query on a Facility, Parcel, Building, or Room, users will have the ability to select multiple records in the returned result set and maintain that list as they navigate through the edit screens related to that entity. In order to ease navigation between the results, a drop-down list like the one pictured above will be visible in the upper left hand corner of the form. Changing the selected record in the drop-down list will change the data currently being edited on the screen. The selected record will then remain selected until the user makes a new selection.

6 – Record Approval

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|--|--------|
| 3.6 | Certain types of inputs/updates need to be approved before being committed to the production tables | |
| 3.10.2 | An E-mail should be sent to the district if a Superuser adds, changes, or deletes a district record. | |
| 3.10.3 | E-mail notifications should include the previous values and updated values of any fields that were changed and the reason for the record update. | |

6.1 – Facility Approval Screen

| | No. | Name | Organization |
|--------|-----|-----------------------|-----------------------------|
| Select | 441 | NEW SCHOOL | DADE COUNTY SCHOOL DISTRICT |
| Select | 3 | ELIZABETH COBB MIDDLE | LEON COUNTY SCHOOL DISTRICT |

Approve Facility ?

Pending Action: Added - A user recently added the record.

Current Values:

Facility Number: 441

Facility Name: NEW SCHOOL

Facility Suffix: STANDARD SCHOOL

Organization: DADE COUNTY SCHOOL DISTRICT

Primary Use: VACANT

Capital Outlay: SCHOOL RECOMMENDED FOR CONTINUED USE

Minimum Grade: GRADE 1

Maximum Grade: GRADE 1

Contract Issued: 1/1/2005

Validated: (none)

Comments:

The “Facility Approval Screen” allows those users with sufficient administrative privileges to moderate changes affecting the facility records in the database. Upon arriving at the page, the user is given a list of pending changes that have been entered into the system by lower-level users. The administrator is able to choose a change from the list, at which point the detail fields below will be populated with both the current data and the new data. The administrator can then judge whether to allow the change to go through and click either the “Approve Action” button (which will commit the change) or the “Reject Action” button (which will ignore it). Both of these actions will also cause an E-mail to be sent to the user who created the change, informing him of the action taken.

7 – Record Change Tracking and Recovery

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|--|--------|
| 3.7.1 | Each of the major entities must maintain a history table to track all previous modifications and field values. | |
| 3.7.2 | Any deleted records should be moved to a history table instead of removed from the system completely. | |
| 3.7.3 | OEF superusers should have the ability to view historical records, recover deleted records, and restore them back to the production tables if necessary. | |

7.1 – Searching for Older Records

The screenshot shows a search interface with a blue header labeled "Search". Below the header are several input fields:

- Organization: A dropdown menu with "None" selected and "None" displayed to the right.
- Facility Number: A text input field.
- Facility Name: A text input field.
- Facility Suffix: A dropdown menu with "None" selected and "None" displayed to the right.
- Primary Use: A dropdown menu with "None" selected and "None" displayed to the right.
- Capital Outlay: A dropdown menu with "None" selected and "None" displayed to the right.
- Record Status: A dropdown menu with "None" selected and "None" displayed to the right. Below the dropdown is the text "Will return both 'Active' and 'Pending' records."

At the bottom of the form is a "Search" button. Below the search form are three buttons: "Edit Record(s)", "Associate Parcels", and "Associate Master Schools".

The search forms for each of the four main entities (facility, parcel, building, and room) have a field labeled "Record Status" that appears only when being viewed by users with administrative privileges sufficient to search for records that are in specific states within the system (rather than just active records alone). The field allows those users who can see it to choose the status of the records they want returned by the search. An administrator could set this to "Removed", for example, if he wanted to find a facility that had earlier been accidentally deleted by a user. While just the facility form has been shown here, functionality for all four of the main entities will work in the same fashion.

7.2 – Facility Recovery Screen

The current record has been removed. You may attempt to recover it by clicking the button below.

[Recover](#)

Facility Details

Organization: Unit Testing Organization

Facility Number:

Facility Name:


Facility Suffix: STANDARD SCHOOL


Primary Use: VACANT

Capital Outlay: SCHOOL RECOMMENDED FOR CONTINUED USE


Minimum Grade: GRADE 1

Maximum Grade: GRADE 1

Contract Issued: / / 

Validated: / / 

Reevaluation Status: Record will be reevaluated normally.

Comments: 

[Save](#)

[Reset](#)

[View Report](#)

[Remove](#)

Once a deleted record has been chosen from the search screen, the user can proceed to the details screen, which shows all of the associated data. The fields are the same as those used for active records, but in this case they are read-only. The user is unable to edit the record at this point, but instead can use the “Recover” button. This will restore the record to its previous “active” state and make it available for normal editing, searching and reporting.

8 – Event Logging and Notifications

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---|--------|
| 3.11 | Certain pre-defined events should be logged by the system | |

8.1 District-Level Event Handling

Recent Events

Filter Events

Event Message:

Username: Include Reevaluation?

Event Type: None ▼

Date Range: 01 / 10 / 2007 - 01 / 24 / 2007

District: 37 ▼ LEON COUNTY SCHOOL DISTRICT

District users will be able to browse all of the events that have occurred affecting data elements within their own district. If a user attempts to add a new building to another staff members designated area of responsibility, for example, it will show up in that user's list of events.

Note the "View Details" link in the list of events. Clicking this link will launch a report screen that will produce a printer-ready report containing all data relevant to the specific event. The user can then view, print, save, or dismiss the report as his leisure).

8.2 Administrator-Level Event Handling

Recent Events

Filter Events

Event Message:

Username: Include Reevaluation?

Event Type: None ▼

Date Range: 01 / 10 / 2007 - 01 / 24 / 2007

District: None ▼ None

| | Message | Date / Time | User |
|------------------------------|--|--------------------------|-----------------|
| View Details | Building added : Org:37-LEON COUNTY SCHOOL DISTRICT Parcel:1-550 E TENNESSEE STREET Facility:1-LEON SENIOR HIGH | 1/24/2007 1:00:00 PM | User2, Super |
| View Details | Room added : Org:0-Unit Testing Organization Facility:0-Unit Testing Facility Parcel:0-Unit Testing Parcel Building:0-Unit Testing Building | 1/24/2007 11:10:00 AM | Taber, Jesse |
| View Details | Room added : Org:0-Unit Testing Organization Facility:0-Unit Testing Facility Parcel:0-Unit Testing Parcel Building:0-Unit Testing Building | 1/24/2007 11:07:00 AM | Taber, Jesse |
| View Details | Room updated : Org:0-Unit Testing Organization Facility:0-Unit Testing Facility Parcel:0-Unit Testing Parcel Building:0-New Building (created 12/19/2006 10:46:56 AM) | 1/24/2007 10:33:00 AM | Brogdon, Andrew |
| View | Room updated : Org:0-Unit Testing Organization Facility:0-Unit Testing Facility Parcel:0-Unit Testing Parcel | 1/24/2007 | Brogdon |

Administrative users have access to all events that flow through the system. They have the capability to alter any data elements within FISH and therefore have a full event display. The administrator can select to view events filtered by date, district, type, and username of the originating user.

| Field Name | Required | Description | Special Validation |
|---------------|---------------------------------|--|--------------------|
| Event Message | No | Event message text to search on. | |
| Username | No | Username who performed the event. | |
| Event Type | No | Event type to search on. | |
| Date Range | Yes | Date range to search when the event occurred. | |
| District | Display Only for non superusers | District that the entity (room, parcel, building, facility) occurred to search on. | |

8.3 Notification E-mail

Several types of events that are logged by the system will also result in e-mail notifications getting sent to certain users. For example, any time a DOE user modifies a record, the registered users at the district will receive an e-mail notification informing them of the change.

8.4 District Contacts

Filter Contacts

Last Name:
 Email:
 Organization: Any Any

| | Name | Organization | Email |
|------------------------|------------------|--------------------------------|-------------------------|
| Select | Test User | Unit Testing Organization | troye.stonich@fldoe.org |
| Select | Sally-Mae Biffle | Unit Testing Organization | sally@whatever.com |
| Select | Tom Cruise | BREVARD COUNTY SCHOOL DISTRICT | address@mail.com |
| Select | Tom Hanks | Unit Testing Organization | address@mail.com |
| Select | Tommy Lee Jones | Unit Testing Organization | address@mail.com |
| Select | Jimminy Thornton | Unit Testing Organization | jimminy@thornton.com |

First Name:
 Last Name:
 Email: *
 Phone:
 Fax:
 Organization: * 0 Unit Testing Organization

Contact Types

 Security Facilities Planners
 Superintendants

Similar to the user management screen present in the administrative section, this form allows administrators of the site to set up contacts for each district. These contacts will be notified when certain events take place involving records within their districts (e.g. a user has requested access to update facility inventory).

9 - Design Code Maintenance Functionality

Requirements Satisfied

| Requirement # | Description | Screen |
|---------------|---|--------|
| 3.3.2 | There should be an interface by which authorized Superusers can perform maintenance on Reference Tables | 15.1 |

9.1 Reference Table Maintenance

Modify Reference Tables

Reference Table: Design

Values: 1 - PRIMARY CLASSROOM (K-3)

Design

Design Edit: A STANDARD CLASS

Design Code: 1 *

Design Description: PRIMARY CLASSROOM (K-3) *

Minimum Capacity: 18 *

Maximum Capacity: 18 *

Minimum Room Square Foot: 600 *

Maximum Room Square Foot: 1763 *

Square Foot Station: 49 *

Default Minimum Design: 40 RESOURCE ROOM

Default Maximum Design: 30 PRIMARY OPEN PLAN (K-3)

Instructional Status: Optional

Code Status: Default

Save

This screen allows the user to change the values for a chosen Design Code. The user may select values from the Design Edit, Default Minimum Design, Default Maximum Design, Instructional Status and Code Status drop downs and enter via keyboard the values desired for Code, Description, Min/Max capacity, Min/Max Room Square Foot and Square Foot Station. When the desired values are inputted, the user clicks on the “save” button to persist the values to the database.

9.2 Adding a new Design Code

Reference Table: Design

Values: Add New Add New Code Value

A user is also allowed to create new codes for the Design table by selecting “Add New” in the values dropdown.

| Field Name | Required | Description | Special Validation |
|--------------------------|----------|--|--|
| Design Edit | Yes | The Design Edit code associated with this Design Code | |
| Design Code | Yes | This Design Code | Cannot be duplicated in the database |
| Description | Yes | The Friendly text to display what this Code signifies | |
| Minimum Capacity | No | The Minimum student capacity for this Code | |
| Maximum Capacity | No | The Maximum student capacity for this Code | |
| Minimum Room Square Foot | No | The Minimum square foot allowed for a room with this Code | A value of 1 is considered No Minimum Value. If the value is 1, then Default Minimum Design must be null. |
| Maximum Room Square Foot | No | The Maximum square foot allowed for a Room with this Code | A value of 99999 is considered No Maximum Value. If the value is 99999, the Default Maximum Design must be null. |
| Square Foot Station | Yes | ??? | |
| Default Minimum Design | Yes | The Code of the Design to use when the Square Feet for this room is below the Minimum Room Square Feet | If this has a value, then Minimum Room Square Foot cannot be 1. If the value is null, then the Minimum Room Square Foot must be 1. |
| Default Maximum Design | Yes | The Code of the Design to use when the Square Feet for this room is above the Maximum Room Square Feet | If this has a value, then Maximum Room Square foot cannot be 99999. If the value is null, then the Maximum Room Square Foot must be 99999. |
| Instructional Status | Yes | The Instructional Status of a room with this Design Code | |
| Code Status | Yes | The activity of this Design Code as defined by Code Status | |

9.3 – Business Rule Validations

9.3.1-Minimum Room Square Foot

A value of 1 is considered No Minimum Value. If the value is 1, then Default Minimum Design must be null.

9.3.2-Maximum Room Square Foot

A value of 99999 is considered No Maximum Value. If the value is 99999, the Default Maximum Design must be null.

9.3.3-Default Minimum Design

If this has a value, then Minimum Room Square Foot cannot be 1. If the value is null, then the Minimum Room Square Foot must be 1.

9.3.4-Default Maximum Design

If this has a value, then Maximum Room Square foot cannot be 99999. If the value is null, then the Maximum Room Square Foot must be 99999.

9.3.5-Design Code

The code value provided must be unique in the database.

Revision History

| Date | Person Responsible | Description |
|--------------------|--------------------|--|
| August 8, 2006 | Jesse Taber | Initial content. |
| August 10, 2006 | Andrew Brogdon | Revisions and corrections based on group discussion |
| August 22, 2006 | Jesse Taber | Revisions based on feedback. |
| August 29, 2006 | Jesse Taber | Added design for Facility, Parcel, and error handling. |
| August 31, 2006 | Andrew Brogdon | Updated screenshots and added Room & Building Functionality. |
| September 1, 2006 | Jesse Taber | Error message definitions. |
| September 18, 2006 | Jesse Taber | Revisions based on feedback. |
| October 2, 2006 | Andrew Brogdon | Updated screenshots, added events, reevaluation and deletion. |
| October 12, 2006 | Brian Gouin | Made edits per Charles Wooten's recommendation. |
| November 1, 2006 | Brian Gouin | Updated screenshots to reflect current functionality. |
| November 7, 2006 | Stephen English | Added Design Code Maintenance section. |
| January 24, 2007 | Troye Stonich | Updated screenshots, added shelter info. |
| January 31, 2007 | Troye Stonich | Added Administrative Maintenance Functionality. |
| February 15, 2007 | Brian Gouin | Added sections for FISH Export file, Simulation Environment and History Table. |
| March 30, 2007 | Jesse Taber | Added more detail to the section describing the 'History Table' generation, and added a section for the data synchronization and district snapshot generation processes. |
| May 21, 2007 | Jesse Taber | Added more detail the Data Services. Also added a new sub section describing the process for loading COFTE data each year. |
| June 19, 2007 | Jesse Taber | Filled in final details for the automated snapshot upload and NWRDC data export data services sections. |
| June 22, 2007 | Jesse Taber | Filled in final details for the automated generation of the Oracle synchronization files. |
| July 23, 2007 | Jesse Taber | Updated to reflect post release maintenance fixes. |
| July 31, 2007 | Jesse Taber | Extracted global EFIS content that is now captured in a separate 'EFIS' document. |
| February 13, 2008 | Brian Gouin | Added the "Add Facility Wizard" screens and text. |
| November 24, 2008 | Katherine White | Added the Parcel Removal/ Reassign Screens and Building Removal screens with the Survey dropdown list addition |

SCHEDULE IV-B FOR SCHOOL CHOICE CONVERSION

For Fiscal Year 2019-20



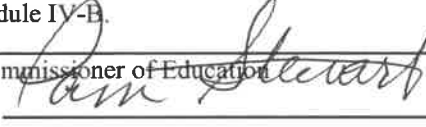
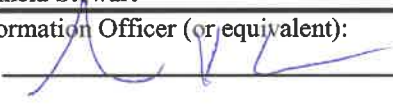
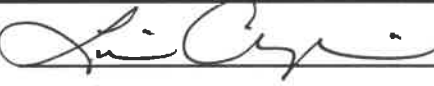
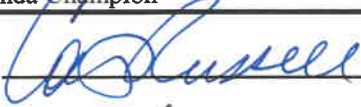
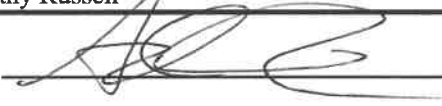
October 2018

FLORIDA DEPARTMENT OF EDUCATION

Contents

- I. Schedule IV-B Cover Sheet 2
 - General Guidelines..... 3
 - Documentation Requirements..... 3
- II. Schedule IV-B Business Case – Strategic Needs Assessment 4
 - A. Background and Strategic Needs Assessment 4
 - 1. Business Need 5
 - 2. Business Objectives..... 6
 - B. Baseline Analysis..... 6
 - 1. Current Business Process(es) 6
 - 2. Assumptions and Constraints 8
 - C. Proposed Business Process Requirements 8
 - 1. Proposed Business Process Requirements..... 8
 - 2. Business Solution Alternatives..... 8
 - 3. Rationale for Selection 8
 - 4. Recommended Business Solution 9
 - D. Functional and Technical Requirements..... 9
- III. Success Criteria 9
- IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis..... 11
 - A. Benefits Realization Table..... 11
 - B. Cost Benefit Analysis (CBA)..... 12
- V. Schedule IV-B Major Project Risk Assessment..... 12
- VI. Schedule IV-B Technology Planning 13
 - A. Current Information Technology Environment 13
 - 1. Current System..... 13
 - 2. Information Technology Standards 13
 - B. Current Hardware and/or Software Inventory..... 13
 - C. Proposed Technical Solution 14
 - D. Proposed Solution Description 14
 - 1. Summary Description of Proposed System 14
 - 2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)..... 14
 - E. Capacity Planning (*historical and current trends versus projected requirements*)..... 14
- VII. Schedule IV-B Project Management Planning 15
- VIII. Appendices 15

I. Schedule IV-B Cover Sheet

| Schedule IV-B Cover Sheet and Agency Project Approval | |
|---|---|
| Agency: Department of Education | Schedule IV-B Submission Date: October 18, 2018 |
| Project Name: School Choice Conversion | Is this project included in the Agency's LRPP? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| LBR Issue Code: | FY 2017-18 LBR Issue Title: Information Technology Application |
| Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Andre Smith, (850) 245-0428, Andre.Smith@fldoe.org | |
| 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: Commissioner of Education  | Date: 10/19/18 |
| Printed Name: Pamela Stewart | |
| Agency Chief Information Officer (or equivalent):  | Date: 10/19/18 |
| Printed Name: Andre K. Smith | |
| Budget Officer:  | Date: |
| Printed Name: Linda Champion | |
| Planning Officer:  | Date: 10/19/18 |
| Printed Name: Cathy Russell | |
| Project Sponsor:  | Date: 10/19/18 |
| Printed Name: Adam Miller | |
| Schedule IV-B Preparers (Name, Phone #, and E-mail address): | |
| Business Need: | Cathy Russell, (850) 245-9640, Cathy.Russell@fldoe.org |
| Cost Benefit Analysis: | Dawn Creamer, (850) 245-9538, Dawn.Creamer@fldoe.org |
| Risk Analysis: | Cassandra J. Grayson, (850) 245-9573, Cassandra.Grayson@fldoe.org |
| Technology Planning: | Lisa Raker, (850) 245-0489, Lisa.Raker@fldoe.org |
| Project Planning: | Cassandra J. Grayson, (850) 245-9573, Cassandra.Grayson@fldoe.org |

General Guidelines

The Schedule IV-B contains more detailed information on information technology (IT) projects than is included in the D-3A issue narrative submitted with an agency's Legislative Budget Request (LBR). The Schedule IV-B compiles the analyses and data developed by the agency during the initiation and planning phases of the proposed IT project. A Schedule IV-B must be completed for all IT projects when the total cost (all years) of the project is \$1 million or more.

Schedule IV-B is not required for requests to:

- Continue existing hardware and software maintenance agreements,
- Renew existing software licensing agreements that are similar to the service level agreements currently in use, or
- Replace desktop units ("refresh") with new technology that is similar to the technology currently in use.
- Contract only for the completion of a business case or feasibility study for the replacement or remediation of an existing IT system or the development of a new IT system.

Documentation Requirements

The type and complexity of an IT project determines the level of detail an agency should submit for the following documentation requirements:

- Background and Strategic Needs Assessment
- Baseline Analysis
- Proposed Business Process Requirements
- Functional and Technical Requirements
- Success Criteria
- Benefits Realization
- Cost Benefit Analysis
- Major Project Risk Assessment
- Risk Assessment Summary
- Current Information Technology Environment
- Current Hardware/Software Inventory
- Proposed Technical Solution
- Proposed Solution Description
- Project Management Planning

Compliance with s. 216.023(4) (a)10, F.S. is also required if the total cost for all years of the project is \$10 million or more.

A description of each IV-B component is provided within this general template for the benefit of the Schedule IV-B authors. These descriptions and this guidelines section should be removed prior to the submission of the document.

Sections of the Schedule IV-B may be authored in software applications other than MS Word, such as MS Project and Visio. Submission of these documents in their native file formats is encouraged for proper analysis.

The Schedule IV-B includes two required templates, the Cost Benefit Analysis and Major Project Risk Assessment workbooks. For all other components of the Schedule IV-B, agencies should submit their own planning documents and tools to demonstrate their level of readiness to implement the proposed IT project. It is also necessary to assemble all Schedule IV-B components into one PDF file for submission to the Florida Fiscal Portal and to ensure that all personnel can open component files and that no component of the Schedule has been omitted.

Submit all component files of the agency's Schedule IV-B in their native file formats to the Office of Policy and Budget and the Legislature at IT@LASPBS.STATE.FL.US. Reference the D-3A issue code and title in the subject line.

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

A. Background and Strategic Needs Assessment

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

The purpose of the Office of Independent Education & Parental Support, School Choice is to support quality public and private educational choice programs by providing information and assistance to promote successful outcomes for students, families, institutions and communities.

The Department identified the need to modernize the school choice systems that support business operations for the Office of Independent Education & Parental Choice. The primary goals of this project will focus on transitioning an Oracle/.asp (Active Server Pages) based database and user interface application from critical system failures and growing maintenance costs to a SQL/.net (Structured Query Language) solution aligned with the department's enterprise architecture. This transition requires developing, testing, documenting and implementing the new solution.

Program Background: Chapter 1002, Florida Statutes (F.S.), requires the Department to maintain a database of private schools within the state. The Department also provides oversight and administration to the state's five K12 scholarship programs that allow for parent-directed funding of school choice options. This system captures, tracks, and monitors scholarship information per Sections 1002.385, 1002.39, 1002.395, 1002.40, 1002.411, and 1002.421, F.S. The Department currently handles records for over 175,000 students and over 2,200 private providers in these programs annually, and the Department expects growth to continue.

The Department uses the system in determining the eligibility of students and providers and is used for scholarship payments on behalf of students to approved not-for-profit organizations and to private schools. The system calculates scholarships for each program by a different formula, on a different schedule, and funded through a different mechanism. Funding amounts are pro-rated, based on established application, enrollment, and other program deadlines. Florida families, school district personnel, accrediting agencies, private school administrators, and scholarship funding organizations (SFOs) utilize the system.

The **McKay Scholarship Program** (Section 1002.39, F.S.) provides scholarships for K-12 students with disabilities to attend an eligible public or private school of their choice. In order to qualify, a student must have a disability for which the school district has written an individual educational plan (IEP), and must have met the prior attendance in public school requirement established in statute. Based on the type and frequency of the services offered by the public school, the school district develops a matrix number and uses it to determine the student's funding level. For private school choice, scholarship payments are made quarterly in the name of the parent for deposit in an eligible private school's account.

The **Gardiner Scholarship Program** (Section 1002.385, F.S.) provides eligible students a scholarship they can use to purchase approved services or products in order to design a customized educational program for the student. Eligible students with a disability, from the age of three through grade 12, may have an account established and funded on their behalf. Each month the Department receives, reviews, and funds invoices from state-approved SFOs for newly-reported, qualified students.

The **Florida Tax Credit Scholarship Program** (FTC) (Section 1002.395, F.S.) provides tax credits for corporations that contribute money to SFOs that award scholarships to students from families with limited financial resources. Parents provide eligibility documentation to an SFO for review to determine eligibility for a student. SFOs make payments to eligible private schools on behalf of participating students and provide regular reports of student participation to the Department.

The **Hope Scholarship Program** (Section 1002.40, F.S.) provides for eligible sales tax contributions from the purchase of a motor vehicle to be directed to SFOs that award scholarships to students subjected to incidents of bullying while attending a Florida public school. Parents submit documentation provided by school districts to an SFO that makes payments to eligible private schools on behalf of participating students and provides regular reports of student participation to the Department.

Reading Scholarship Accounts (Section 1002.411, F.S.) are available to provide educational options for students in grades 3 through 5 who are enrolled in a Florida public school and scored below a Level 3 on the

grade 3 or grade 4 statewide, standardized English Language Arts assessment in the prior school year. Parents apply directly to eligible SFOs, and each month the Department receives, reviews, and funds invoices from the SFOs for newly-reported eligible students.

Scholarship Funding Organizations, established through Section 1002.395, F.S., and must apply to the Department annually to be approved for participation in the FTC, Gardiner, Hope, and Reading Scholarship programs. SFOs receive administrative fees for each scholarship awarded and directly administrate the four programs.

K-12 Private Schools are not licensed, approved, accredited, or regulated by the Department. Section 1002.42, F.S., requires the administrator of a K-12 private school to register the school with the Department and complete an annual survey each year. There are additional requirements for private schools participating in the state scholarship program, described in authorizing statutes and in Section 1002.421, F.S. The Department is responsible for annually verifying the eligibility of participating private schools.

Accrediting Agencies indicate, via the Department's web application, which private schools their organization accredits. Submitting annual survey data and being listed in the directory of private schools that is developed from the statutorily required database does not imply approval or accreditation by the state.

Public School Districts have specific responsibilities related to the McKay and Gardiner Scholarship programs, delineated in authorizing statutes. School districts periodically submit student enrollment data to the Department. The Department extracts files from that data, loads it into the system, and the Department reviews applications for the McKay Scholarship against them. For each McKay Scholarship applicant, and on request for individual Gardiner Scholarship students, district personnel must create a matrix of services where appropriate and use the system to submit a funding code to the Department. Prior to each McKay and Gardiner Scholarship payment, districts must review scholarship student lists to confirm that the students are not enrolled in public schools.

Florida Citizens, including potential scholarship parents, non-participating private school administrators, and other individuals who do not participate in the various scholarship programs also access the system.

1. Business Need

The School Choice core systems infrastructure comprises diverse vendor platforms and a mix of technologies which are either outdated with limited/scarcely support or have discontinued product support by the vendors. As a result, the outdated software platforms have become increasingly incompatible with current technology releases with which they must interact. The maintenance of these applications has become very expensive, and it is no longer "cost efficient" to keep existing systems without essential upgrades. For example, the current systems to manage the scholarship programs are written in Oracle/.asp. The current Oracle supported version is so far beyond the version deployed in the School Choice Systems that there is no available continued support by Oracle, endangering the continued use of mission-critical applications by School Choice and its clients.

It is critical to maintain and enhance all School Choice applications to support the ongoing business operations. Therefore, it is essential to streamline and consolidate the applications into an SQL/.net database and user interface to be consistent with the department's enterprise platform. Though they may be currently in working condition and performing, the School Choice support applications have entered a phase of data vulnerabilities and security concerns at the end of their viable shelf-life. As technology vendors routinely modernize and upgrade hardware and system software, School Choice applications are experiencing increasingly degraded performance and security threats. Due to increasing age of the systems, their components, and the servers on which the system is hosted, service providers such as Microsoft, Oracle, and Northwest Regional Data Center (NWRDC) hosting the applications no longer offer support for issue resolution as problems with increasing frequency occur.

This critical maintenance function has become extremely difficult since many manufacturer software releases are no longer compatible with the antiquated platforms in the School Choice systems. To keep up with ongoing changes in School Choice business rules, it has become very difficult and expensive to locate, procure, and maintain the development skill sets for the older/outdated technologies. Any further changes in the applications pose an extreme risk to School Choice application systems as well as increasing vulnerability of interoperable systems or subjecting systems to irreparable failures. If the system fails, the stakeholders could lose millions of scholarship dollars due to drastic data loss.

Application systems require routine upgrades and patches applied to enforce information security and other industry compliance. School Choice systems must maintain compliance with agency IT security guidelines, Agency for State Technology (AST), and other industry standards, such as Payment Card Industry (PCI) Data Security Standards (DSS) and Criminal Justice Information Security (CJIS). The state of the current School Choice architecture (hardware and software) makes it impossible to remain in compliance with all of these information security policies and standards. The Department estimates the cost to meet compliance requirements will exceed the investments necessary to upgrade School Choice systems to the current levels of supported technologies.

2. Business Objectives

As mentioned earlier, the business objectives for this project are to provide a single SQL/.net solution for all internal and external users to access the School Choice user interface and database. The solution should support current functionality, any enhancements to current functionality requested, migrating legacy data, tracking students, parents, districts, etc. scholarship information, private school information, and eligibility to receive scholarship payments, and any changes or additions due to legislative action.

Activities associated with the objectives:

- Convert School Choice primary database from Oracle/.asp platform to SQL/.net to eliminate heterogeneous database platforms and align database for more efficient enterprise support and maintenance.
- Migrate School Choice applications from physical to virtual platform servers hosted at the Northwest Regional Data Center or Cloud Solution.
- Upgrade Peripheral Support application servers to supported platforms using advanced server operating systems for compliance with technology infrastructure and security standards.
- Document business requirements for current School Choice applications and desired future state.
- Ensure operational continuity and compliance with records retention requirements by assessing the most cost-effective solution for School Choice document management.

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

B. Baseline Analysis

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

1. Current Business Process(es)

System functionality for External Users includes, but is not limited to:

- Submitting data files and reports for upload to the Department.
- Completing and submitting reports via the web application.
- Viewing and editing submitted data.
- Viewing and exporting static and on-demand reports generated by the system.
- Receiving routine downloads of system data.
- Searching for student and school records.
- Enrolling scholarship students, submitting fee schedules, and verifying attendance.
- Accessing via secure connection other Department systems.
- Viewing on-demand reports generated by the system.
- Entering student eligibility and funding data.
- Accessing, filtering, and exporting public record data.
- Filing intent for students to participate in the McKay Scholarship program.

- Using a secure parent log in to view information about their child’s scholarship.

System functionality for Internal Users includes, but is not limited to:

- Assigning a unique school code to private schools that register with the Department.
- Viewing and editing student data submitted by private schools, SFOs, and school districts.
- Uploading and viewing documents received from parents and participating private schools.
- Generating scholarship payments, each based on multiple eligibility and funding calculation requirements, and documenting the return of scholarship payments.
- Documenting and tracking annual private school compliance information.
- Logging and tracking calls to the Department’s scholarship information hotline.
- Logging and tracking actions taken by the Department related to scholarship compliance.
- Comparing lists of scholarship students and public school students.
- Communicating with users via online forms and auto-generated notifications.
- Editing website navigation menus.
- Posting user-specific messages available on log in.
- Creating and managing secure user profiles and permissions.
- Extracting data files to export to other users.
- Loading data from other sources using stored procedural jobs or batch processing jobs.
- Interfacing with existing systems within the Department.
- Viewing and exporting reports for program and data integrity monitoring.

Batch Job/Data Transfer Processes

1. Schemas housing School Choice Databases:
 - a. DOEOSAS_Data
 - b. DOEOSAS_Survey
2. Oracle Processes/Jobs:
 - a. Load Survey Data
 - b. Load Direct Certification Data
 - c. Load Lunch Data
 - d. Load Medicaid Data
 - e. Check for School Code Duplication
 - f. Maintain School Enrollment Statistics
 - g. Maintain Student Demographic Information
 - h. Record School Payments Received
 - i. Record Basic School Information
3. Data loaded from multiple external sources (i.e. SSIS jobs).
4. SQL Server housing the WebteamAppData database to store PDFs of affidavits and annual surveys.
5. SQL Server housing the IEPC_SchoolChoice database to store Reading Scholarship Accounts data

Application Information

1. Applications are located on the DOE-PAPP04 .Net Web Server at NWRDC.
2. Access applications using the <http://www.floridaschoolchoice.org> website.
3. Large Application System Supporting Multiple Sub-Systems:
 - a. Admin Functions
 - b. Call Tracking
 - c. Gardiner / FTC/ Hope
 - d. District McKay
 - e. District Gardiner
 - f. McKay Payment Processing
 - g. Private School
 - h. Web Services

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

2. Assumptions and Constraints

The current choice application is over 14 years old lacking adequate documentation, any significant upgrades, or modernization of its core system. The infrastructure that this system is maintained on is well beyond its end-life-support. Key assumption is that current system and infrastructure will need to be re-engineered based on shared resource model or cloud solution model.

Other Assumptions:

- Current environment will remain stable with minimal impact on staff availability needed for conversion.
- A complete requirement and functional analysis will be done to ensure that new system meets the business needs.
- Ensure interoperability with required internal agency or interagency source systems (e.g. Staff Information System, Scholarship Programs Systems, etc.).
- Project Management Team will be used by the department to manage project plan, staff, resources, and risks/issues log.

C. Proposed Business Process Requirements

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

1. Proposed Business Process Requirements

Solution should sustain current functionality and the department has identified the following requirements that will improve the School Choice solution:

- Improved access and authentication model.
- Development based on current ISDM
- The standardization of multiple applications into single unified application.
- The use of shared resources to minimize costs.
- User-friendly navigation and reports.
- Maximum flexibility for expansion, modification or reduction with minimal rework.

2. Business Solution Alternatives

The department examined three alternatives to meet the business goals of unified School Choice solution:

- Develop a custom solution in-house
- Outsource a custom solution
- Deploy a COTS solution

3. Rationale for Selection

In considering the advantages and disadvantages of each alternative, the department also considered the following factors in making a selection:

- Userability
- Maintainability
- Scalability
- Data management
- Security
- Cost
- Risk

4. Recommended Business Solution

The alternative analysis process has concluded that the best option for replacing the aging School Choice solution is through a **vendor developed custom solution**. This alternative will ensure that technical and business requirements are met through a flexible and viable solution. This solution will also reduce the overall project risks and ensure that the resulting solution can be maintained in the future.

| Categories | Weight | ALTERNATIVE 1 IN-HOUSE DEVELOP | | ALTERNATIVE 2 VENDOR DEVELOP | | ALTERNATIVE 3 PURCHASE COTS | |
|-----------------------------|------------|--------------------------------------|-----------|------------------------------------|-----------|-----------------------------------|-----------|
| | | Score | Total | Score | Total | Score | Total |
| Userability | 10 | 8 | 8 | 8 | 8 | 7 | 7 |
| Maintainability | 20 | 12 | 20 | 16 | 24 | 14 | 21 |
| Scalability | 10 | 8 | 28 | 8 | 30 | 5 | 26 |
| Data Management | 10 | 8 | 36 | 8 | 38 | 8 | 34 |
| Security | 10 | 9 | 45 | 9 | 47 | 8 | 42 |
| Cost | 20 | 16 | 61 | 12 | 59 | 15 | 57 |
| Risk | 20 | 12 | 73 | 18 | 75 | 18 | 75 |
| Total Weighted Score | 100 | | 73 | | 77 | | 75 |

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

D. Functional and Technical Requirements

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

Include through file insertion or attachment the functional and technical requirements analyses documentation developed and completed by the agency.

See Appendix A

III. Success Criteria

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

| SUCCESS CRITERIA TABLE | | | | |
|------------------------|---|--|--------------------|--------------------------|
| # | Description of Criteria | How will the Criteria be measured/assessed? | Who benefits? | Realization Date (MM/YY) |
| 1 | Consolidate current School Choice technology systems and migrate to a modern, supported technology platform | Inventory of updated system components | FDOE | 06/2021 |
| 2 | School Choice technology system supports ongoing business operations | Compliance with agency and other applicable industry standards | FDOE | 06/2021 |
| 3 | School Choice technology system stores and securely maintains student and parent confidential information | Compliance with agency and other applicable data security standards | FDOE, stakeholders | 06/2021 |
| 4 | Minimize peak volumes and maintain quality efficient service | Enhanced capacity of School Choice staff to document and report interactions with stakeholders across all programs | FDOE, stakeholders | 06/2021 |
| 5 | Enhance accessibility of school choice system for Florida families | School Choice application that is compatible with mobile devices | FDOE, stakeholders | 06/2021 |
| 6 | Update interface options to improve service to stakeholders | Increased access to relevant stakeholder data | Stakeholders | 06/2021 |

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

A. Benefits Realization Table

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

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

| 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 | Optimize SQL/.net solution aligned with the department's enterprise architecture | FDOE | Optimize use of system features | Cost stabilization of support costs | 06/2021 |
| 2 | Improved system security | FDOE & System Users | The application and its database are made secure, both during operation and at rest | System/database vulnerabilities, exploits and attacks | 06/2021 |
| 3 | Improved system performance | FDOE & System Users | The application is able to render information to users faster | Faster response times, increased request rates, and lower error rates | 06/2021 |
| 4 | Lower maintenance costs | FDOE | Reduction in support effort | Minimize support costs | 06/2021 |
| 5 | Improved system reliability | FDOE | Primary business applications consolidation service approach | Cost avoidance of rising support costs | 06/2021 |
| 6 | Technology refresh | FDOE | System stability and reduced support effort | Cost avoidance of rising support costs | 06/2021 |

B. Cost Benefit Analysis (CBA)

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

The chart below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

| Cost Benefit Analysis | |
|---|--|
| Form | Description of Data Captured |
| CBA Form 1 - Net Tangible Benefits | <p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that the proposed project will impact.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p> |
| CBA Form 2 - Project Cost Analysis | <p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p> |
| CBA Form 3 - Project Investment Summary | <p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return |

V. Schedule IV-B Major Project Risk Assessment

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

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

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency's Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

VI. Schedule IV-B Technology Planning

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

A. Current Information Technology Environment

1. Current System

One application separated by business processes on a Windows 2003 legacy server with mixed Classic ASP (30%) & .Net (70%) code.

The application accesses a shared production (PDOE) database and a shared test (TDOE) database housed at the Agency for State Technology, both are on Oracle Sun Solaris servers. The application accesses PDF data from a SQL 2000, SQL 2005, and SQL 2008 databases as well on other databases located on virtual servers at our local Northwest Regional Data Center (NWRDC).

Lastly, the application allows access via Web Services for external entities.

a. Description of Current System

Stakeholders use the system to determine the eligibility of students and providers, and for scholarship payments on behalf of students to approved not-for-profit organizations and to private schools. The system calculates the scholarship for each program is calculated by a different formula, on a different schedule, and funded through a different mechanisms. Funding amounts are pro-rated, based on established application, enrollment, and other program deadlines. Florida families, school district personnel, accrediting agencies, private school administrators, and scholarship funding organizations (SFOs) utilize the system.

b. Current System Resource Requirements

- One Developer Resource.
- One Shared Business Analyst Resource (supports approx. 70% of their time).
- One Shared Database Administrator Resource (supports approx. 40% of their time).
- Shared Production Control Resource.
- Shared Server Management Resource.
- Overall management of the before-mentioned resources.

c. Current System Performance

- The environment does not support the old version of Oracle (10G), the environment is not supported anymore.
- Old application server (2003) consistently drops access to the applications.
- Old and Inconsistent Code is currently written in three software languages (Classic ASP, .Net 2.0, .Net 4.0).
- Application Architecture is outdated and needs restructuring based on the current application structure.

2. Information Technology Standards

Information Systems Development Methodology – August 2012, Version 2.0.

B. Current Hardware and/or Software Inventory

- Current Legacy Application Server – Windows 2003 Enterprise .Net Web Server Located at NWRDC. In the process of transitioning to a 2012 Windows Server located at NWRDC.
- Access to Oracle Sun Solaris servers containing databases.

NOTE: Current customers of the state data center would obtain this information from the data center.

C. Proposed Technical Solution

1. Technical Solution Alternatives

Building within the current shared resources at NWRDC or building a separate cloud solution are the two technical solution alternatives for this initiative

2. Rationale for Selection

The technical solution recommendation will be based on whether or not additional resources are needed to improve performance throughout the year.

3. Recommended Technical Solution

Building within the current shared resources at NWRDC is recommended technical solution given the fact that scalable resources are not needed for School Choice solution based on their current capacity.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed system will provide a single SQL/.net solution for all internal and external users to access the School Choice user interface and database. The solution should support current functionality, any enhancements to current functionality requested, migrating legacy data, tracking students, parents, districts, etc. scholarship information, private school information, and eligibility to receive scholarship payments, and any changes or additions due to legislative action.

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

The Department estimates a need of approximately \$3.5 million for project (FY2019-20 & FY2020-21).

E. Capacity Planning

(historical and current trends versus projected requirements)

Current Users:

- Over 30,000 participating scholarship families annually.
- Over 2,700 administrators of private schools, accrediting agencies and scholarship funding organizations.
- Multiple users in each of 67 school districts.
- Over 50 agency program staff members.
- Approximately 75,000 additional public users annually.

VII. Schedule IV-B Project Management Planning

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

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

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

VIII. Appendices

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

Appendix A – Functional Requirements

Appendix B – Cost Benefits Analysis (CBA)

Appendix C – Project Risks Assessment

Appendix D – Project Management Planning



Functional Requirements for School Choice Conversion

Schedule IV-B Appendix A

Table of Contents

| | |
|---|----|
| Overall System Needs | 4 |
| 1. Security | 4 |
| 2. Information/Forms/PDFs/Text Docs/Etc..... | 4 |
| 3. Auto-Generated Emails..... | 4 |
| 4. Reports..... | 4 |
| 5. Batch Processing..... | 4 |
| 6. Search Functions..... | 4 |
| Private School Administrator Login | 4 |
| 1. Request a School Code | 4 |
| 2. Non-Participating Private Schools..... | 4 |
| 3. Notification Window | 5 |
| 4. Annual Private School Survey Form | 5 |
| 5. Scholarship Compliance Form..... | 5 |
| 6. Fee Schedule..... | 5 |
| 7. Student Lists | 6 |
| McKay Student List..... | 6 |
| FTC Student List..... | 7 |
| Hope Student List | 7 |
| 8. Attendance Verification..... | 7 |
| 9. Bureau of Educator Certification Partnership Access & Services System (BEC-PASS Access)..... | 7 |
| Private School Accrediting Agency Login | 7 |
| 1. Accrediting Agency Contact Info | 7 |
| 2. Private School Search | 8 |
| 3. Private School Search Results | 8 |
| 4. School Information Page | 8 |
| Scholarship Funding Organization (SFO) Login | 8 |
| 1. SFO Home Page | 8 |
| 2. Search FTC Students | 8 |
| 3. Search Hope Students | 8 |
| 4. Gardiner Student List..... | 8 |
| 5. Gardiner Reports..... | 9 |
| 6. Reading Reports..... | 9 |
| 7. Private Schools | 10 |
| Parent Login | 10 |

| | |
|---|-----------|
| 1. Intent to Participate..... | 10 |
| 2. Parent Home Page..... | 10 |
| District McKay Contact Login | 11 |
| 1. District Home Page..... | 11 |
| 2. Gardiner Payment Candidate List..... | 11 |
| 3. Gardiner Student List..... | 11 |
| 4. McKay Student List..... | 11 |
| 5. McKay EPS Student List | 12 |
| 6. District Administration | 12 |
| Administrator Login..... | 12 |
| 1. Search Students..... | 12 |
| 2. Intent Students | 13 |
| 3. Ineligible Intent | 13 |
| 4. Foster Intent Students | 13 |
| 5. Military Intent Students | 13 |
| 6. Student Intent..... | 13 |
| 7. Student Intent Delete | 13 |
| 8. Student Intent Type Change | 13 |
| 9. Gardiner Student Payment Returns..... | 13 |
| 10. Reading Student Payment Returns..... | 14 |
| 11. Search Schools..... | 14 |
| 12. Manage Private Schools..... | 14 |
| 13. Private School Annual Report | 14 |
| 14. Private School Compliance Form Report | 14 |
| 15. Pending School Code Requests | 15 |
| 16. Gardiner Student List..... | 15 |
| 17. Gardiner Payment Processing | 15 |
| 18. Parent Affidavits | 15 |
| 19. Tools | 15 |
| 20. Admin Reports | 17 |
| 21. Complaint Administration | 20 |
| 22. Website | 20 |
| 23. District Contact Information..... | 20 |

Overall System Needs

1. Security
 - 1.1. The system shall provide role-based security.
 - 1.2. The system shall provide configurable security for each role.
 - 1.3. Displayed pages shall be dependent on security role (Admin).
2. Information/Forms/PDFs/Text Docs/Etc.
 - 2.1 The system shall display Information in the form of PDFs, Text Documents, Forms and Resource links throughout the pages in the system. The system displays information based on the different logins.
 - 2.2 The system shall allow the Administrator role to load, create and edit this information on the system.
3. Auto-Generated Emails
 - 3.1 The system shall create auto-generated emails based on business rules.
4. Reports
 - 4.1 The system shall generate reports where needed, based on business rules. The system creates reports within all the roles.
5. Batch Processing
 - 5.1 The system shall generate incoming and outgoing batch jobs that can occur nightly, weekly, monthly, quarterly and semi-annually.
6. Search Functions
 - 6.1 The system shall provide dynamic search functionality when needed, based on business rules.

Private School Administrator Login

1. Request a School Code
 - 1.1. New Private Schools must request a School Code before logging in. The school completes this outside of the School Choice Database. Request includes, school name, district, address (city, state, zip), phone, contact person, contact email, owner/director and director's email.
 - 1.1.1. Once the Private School has submitted a School Code request, the system notifies the School Choice Office, the School Choice Office administrator approves the request and the system sends an auto-generated email to the Private School.
 - 1.2. Private Schools WILL NOT request a School Code if:
 - 1.2.1. They have a School Code
 - 1.2.2. They have forgotten their School Code and/or password
 - 1.2.3. They do not operate a Florida Private School that serves at least one grade from kindergarten to grade 12
 - 1.3. When a School Choice Office administrator approves the request and assigns a school code, the system sends an auto-generated email to the new Private School with the code and a generic password.
2. Non-Participating Private Schools
 - 2.1. Private Schools can choose to participate in a scholarship program or not.

- 2.2. Non-Participating Private Schools can log into the website, but cannot access their student list for programs they are not participating in. This blocks the school from registering and enrolling students.
 - 2.3. Non-Participating schools are statutorily required to complete the Annual Private School Survey form.
3. Notification Window
- 3.1. The system shall display information pertinent to all Private Schools and the specific Private School logged in, such as, the most recent Payment Report available, the status of the Private School's Scholarship Compliance Form, etc.
4. Annual Private School Survey Form
- 4.1. The system shall provide a fillable form to capture the following information:
 - 4.1.1. General Information
 - 4.1.2. Program Information
 - 4.1.3. Student Information
 - 4.1.4. Teacher Information
 - 4.1.5. Graduate Information
5. Scholarship Compliance Form
- 5.1. The system shall link to an instruction sheet for the Scholarship Compliance Form.
 - 5.2. The system shall provide a printable form to capture the following information:
 - 5.2.1. Program Participation
 - 5.2.2. School Ownership, Affiliation, and Licensing
 - 5.2.3. Financial Solvency
 - 5.2.4. School Administration
 - 5.2.5. School Staffing
 - 5.2.6. School Program
 - 5.2.7. Student Health, Safety, Welfare
 - 5.2.8. Student Records
 - 5.2.9. School Facility
 - 5.2.10. Submission of Scholarship Form
 - 5.2.10.1. Submitter contact information
 - 5.2.10.2. Notary Public information
 - 5.3. The system shall provide a link to the Scholarship Compliance Correction Form (if already completed).
 - 5.4. The system shall provide a link to the Scholarship Compliance Printable Record (if already completed).
6. Fee Schedule
- 6.1. The system shall display current information about the Private School's Fee schedule.
 - 6.1.1. The system shall display information of the fee schedule due dates and where to send information when changes are needed outside the requested window.
 - 6.1.2. The system shall display a drop-down filter to select a certain year.
 - 6.1.3. The system shall display the filtered search results in a columnar row format with the following information:
 - 6.1.3.1. Description (Will vary)
 - 6.1.3.2. Amount
 - 6.1.3.3. Fee Type
 - 6.1.3.4. Quant? – Is this a quantifiable fee?

- 6.1.3.5. Inactive
- 6.1.3.6. School Year

7. Student Lists

McKay Student List

The system shall display the McKay Student List search page.

- 7.1. The system shall display students in Enrolled, Registered or Withdrawn status.
- 7.2. Click on a hyperlink to **Register** New Students, this process includes Searching and confirming the student and selecting the grade to be attended by the student.
 - 7.2.1. The system shall provide a select button to Begin the Registration process.
 - 7.2.2. The system shall prompt the private school to Search for the student by entering the following information.
 - 7.2.2.1. Public School District
 - 7.2.2.2. First Name
 - 7.2.2.3. Last Name
 - 7.2.2.4. DOB (MM/DD/YYYY)
 - 7.2.3. The system shall display the filtered search results in a columnar row format with the following information:
 - 7.2.3.1. Student ID
 - 7.2.3.2. Student Name (hyperlink)
 - 7.2.3.3. District
 - 7.2.3.4. DOB (MM/DD/YYYY)
 - 7.2.3.5. Status
 - 7.2.3.6. Matrix (Eligibility 251-255/Ineligible)
 - 7.2.3.7. INT Date
 - 7.2.4. The system shall provide a hyperlink on the student's name to select and continue the registration process. Click the hyperlink, select the grade the student will be attending and click the FINISH button.
 - 7.2.4.1. The system shall inform the Private School the student is now registered at their school. The Private School user can continue to register other students or continue with a specific student to update the fee schedule and enroll this student.
- 7.3. The system shall allow the Private School to update the student's Fee Schedule. The system allows the Private School to access the student's informational pages. (General/scholarship/Payment/Enroll/Register etc. student can't enroll without a fee schedule, opens up these major actions for the student at this point.)
- 7.4. The system shall allow you to **Enroll** once you have been registered.
 - 7.4.1. The system shall require the first date of attendance to be entered.
 - 7.4.1.1. The system shall prompt you to select the Confirm Enrollment Check box. Once the Private School user select the check box and clicks the ENROLL STUDENT button, the student is enrolled.
- 7.5. Click on a hyperlink to **Transfer** Students From Other Schools.
 - 7.5.1. The system shall provide a district drop-down filter to select the district.
 - 7.5.2. The system shall provide a private school drop-down filter to select the private school in which the student to transfer was enrolled in.
 - 7.5.3. The system shall provide a "continue" or "cancel" button to move forward in the transfer process.
 - 7.5.4. The system shall allow you to select the student name in which you want to transfer.
 - 7.5.5. The system shall inform the private school the student is now transferred to their school.

- 7.5.6. The system shall allow the private school options to continue to transfer students, return to their McKay student list or add a Fee Schedule for the newly transferred student.
- 7.5.7. The system shall allow the Private School to update the student's Fee Schedule. The system allows the Private School to access the student's informational pages.
(General/Scholarship/Payment/Enroll/Register etc.)

FTC Student List

The system shall display the FTC Student List search page.

- 7.6. The system shall display students in Registered, Withdrawn or Awarded status.
 - 7.6.1. The system shall display hyperlinks to students who are Registered/Withdrawn or Awarded with the following information:
 - 7.6.1.1. Student Information
 - 7.6.1.2. Parent Information
 - 7.6.1.3. School Information
 - 7.6.1.4. Scholarship Information

Hope Student List

The system shall display the Hope Student List search page.

- 7.7. The system shall display students in Registered, Withdrawn or Awarded status.
 - 7.7.1. The system shall display hyperlinks to students who are Registered/Withdrawn or Awarded with the following information:
 - 7.7.1.1. Student Information
 - 7.7.1.2. Parent Information
 - 7.7.1.3. School Information
 - 7.7.1.4. Scholarship Information

8. Attendance Verification

During certain windows, private schools can verify student attendance.

- 8.1. The system shall notify the Private School if it is a determined time to verify student's attendance. A link is provided to complete the verification process (2-step).
 - 8.1.1. Step 1 – The system shall prompt the Private School to select Yes if the student meets the verification criteria (In attendance and/or in regular contact with the student) or **No** (Not in attendance and/or In Regular contact with the student). Selection must be yes for both questions to verify attendance.
 - 8.1.2. Step 2 – The system shall prompt the Private School user to enter their First and Last name to validate the attendance verification.

9. Bureau of Educator Certification Partnership Access & Services System (BEC-PASS Access)

- 9.1. The system shall allow Participating schools access to the Bureau of Educator Certification Partnership Access & Services System to complete statutorily mandated certifications.

Private School Accrediting Agency Login

This page is for administrators of **Private School Accrediting Associations** that have been issued a user name and password.

1. Accrediting Agency Contact Info

- 1.1. The system shall display Accrediting Agency contact information.
- 1.2. The system shall allow the authenticated user to edit Accrediting Agency contact information.

2. Private School Search

- 2.1. The system shall provide the capability to search Florida Private Schools by District.
- 2.2. The system shall provide the capability to search Florida Private Schools by School Name.
- 2.3. The system shall provide the capability to search Florida Private Schools by Program.
- 2.4. The system shall provide the capability to filter search results by schools accredited by the agency.

3. Private School Search Results

- 3.1. The system shall display the filtered search results in a columnar row format.
- 3.2. The system shall provide a hypertext link to the School Information Page for each school in the search results.
- 3.3. The system shall provide email address with clickable embed link.

4. School Information Page

- 4.1. The system shall provide the ability to select and submit a school for accreditation.
- 4.2. The system shall display General Information on the selected school.

Scholarship Funding Organization (SFO) Login

This page is for administrators of **Scholarship Funding Organizations** that are currently participating in the Florida Tax Credit Scholarship Program and have been issued a user name and password.

1. SFO Home Page

2. Search FTC Students

- 2.1. The system shall display drop down filters (School Year, District, and Student Status) and a Last name fillable field to allow an SFO to search FTC students.
- 2.2. The system shall display the filtered search results in a columnar row format. (Student (hyperlink), DOB, Grade, District, School, School Type and SFO).
- 2.3. The system shall allow and SFO to click on the Students name (hyperlink) to edit the following information.
 - 2.3.1. Student Information
 - 2.3.2. Parent Information
 - 2.3.3. School Information

3. Search Hope Students

- 3.1. The system shall display drop down filters (School Year, District, and Student Status) and a Last name fillable field to allow an SFO to search FTC students.
- 3.2. The system shall display the filtered search results in a columnar row format. (Student (hyperlink), DOB, Grade, District, School, School Type and SFO).
- 3.3. The system shall allow and SFO to click on the Students name (hyperlink) to edit the following information.
 - 3.3.1. Student Information
 - 3.3.2. Parent Information
 - 3.3.3. School Information

4. Gardiner Student List

- 4.1. The system shall display current student with eligibility confirmed by SFO.
- 4.2. The system shall drop down filters (School Year, District and Status) and a First Name, Last Name, Birth Date and Student ID fillable fields to allow an SFO to search Gardiner students.

- 4.3. The system shall display the filtered search results in a columnar row format. (School Year, First Name, Middle Name, Last Name, District, Gender, DOB, Parent Name, Grade, Matrix, Disability, Eligibility Evidence, Status, Annual Scholarship Amount, Eligibility %, and Scholarship Amount).
 - 4.3.1. The system shall allow the SFO to click the select button to access the student's information to update.
- 4.4. The system shall allow the Gardiner student list to be an Exportable Excel file.
- 4.5. The system shall display a hyperlink to Create a New Gardiner Student.
 - 4.5.1. The system shall allow the SFO to enter the student's information, parent's information, home and address information and Save Student Information button is present.

5. Gardiner Reports

- 5.1. The system shall display drop down filters (Month Name and Report Name) to allow an SFO to run Gardiner Reports. The system shall allow the following reports to be ran:
 - 5.1.1. Invoice Report (PDF)
 - 5.1.1.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student Last Name, Zip, County, Eligibility Confirmed Date, Scholarship Amount, Student First Name, DOB, SSN, Gender, Race, Current Grade, Address, City, State, Disability, Eligibility Evidence, and Matrix).
 - 5.1.2. Post Payment Report (Excel)
 - 5.1.2.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student Last Name, Zip, County, Eligibility Confirmed Date, Scholarship Amount, Admin Fee Amount, Student First Name, DOB, SSN, Gender, Race, Current Grade, Address, City, State, Disability, Eligibility Evidence, and Matrix).
 - 5.1.3. Pre Payments Report (Excel)
 - 5.1.3.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student First Name, Student Last Name, DOB, SSN, Gender, Race, Current Grade, Address, City, State, Zip, County, Disability, Matrix, Max Scholarship Amount, Eligibility Confirmation Date, Eligibility Scholarship %, Previous Payments, Scholarship Amount, In FTC, Other, Evidence Found, Approved for Funding, and Comments).
 - 5.1.4. Reconciliation Report (Excel)
 - 5.1.4.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student First Name, Student Last Name, SSN, Scholarship Amount, Other, EPS and Comments).

6. Reading Reports

- 6.1. The system shall display drop down filters (Month Name and Report Name) to allow an SFO to run Reading Reports. The system shall allow the following reports to be run:
 - 6.1.1. Invoice Report (PDF)
 - 6.1.1.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student Last Name, Zip, County, Eligibility Confirmed Date, Scholarship Amount, Student First Name, DOB, FLEID, Gender, Race, Current Grade, Address, City, State).
 - 6.1.2. Post Payment Report (Excel)
 - 6.1.2.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student Last Name, Zip, County, Eligibility Confirmed Date, Scholarship Amount, Admin Fee Amount, Student First Name, DOB, FLEID, Gender, Race, Current Grade, Address, City, State).
 - 6.1.3. Pre Payments Report (Excel)

- 6.1.3.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student First Name, Student Last Name, DOB, FLEID, Gender, Race, Current Grade, Address, City, State, Zip, County, Other, Approved for Funding, and Comments).
- 6.1.4. Reconciliation Report (Excel)
 - 6.1.4.1. The system shall display the filtered search results in a columnar row format. (SFO Sequence Number, Student First Name, Student Last Name, FLEID, Scholarship Amount, Other, and Comments).

7. Private Schools

- 7.1. The system shall display a list of all Private Schools.
- 7.2. The system shall allow the SFO to filter the Private Schools based on District.
- 7.3. The system shall provide hyperlinks to each of the Private Schools that link the SFO to the Private Schools information (General information, Contact Information, Program Participation, Annual Survey Status, Compliance Form Status and Renewal Information).

Parent Login

This page is for Parents of Students already enrolled in a participating private school with the McKay Scholarship.

1. Intent to Participate

- 1.1. In order for a student to participate in the McKay Scholarship Program, parents must first file intent, otherwise a parent will not have a login. There are two types of intents that can be filed: Regular McKay Intent and 504 Intent. There are five steps to filing intent:
 - 1.1.1. **Step 1** – McKay student intent request (District, First Name, Last Name, DOB and selection of 504 student of Regular McKay (Student w/and IEP).
 - 1.1.2. **Step 2** – Determine Eligibility – If the student is found in the system and eligible. The parent must select the check box to note the student is Enrolled in Private School (EPS), otherwise there is no point in moving forward to file intent.
 - 1.1.3. **Step 3** – Enter Parent Information – Parent enters their information (including an email address).
 - 1.1.4. **Step 4** – Respond with Confirmation Information – The system displays a confirmation number and link to the Intent Information page. At this time the parent is sent an auto-generated email message with the link and confirmation number, parents can check the intent status with the confirmation number.
 - 1.1.5. **Step 5** – Enter whom the intent was filed by and click finish. If the parent contacts DOE, we can see who filed and that person with that student cannot file again.
 - 1.1.6. Once the intent is filed and the parent receives the confirmation, the parent can't login to the parent login until the student is enrolled, but can check the intent status by accessing the public site @ <http://fldoe.org/schools/school-choice/k-12-scholarship-programs/mckay/mckay-parent-info.stml>.

2. Parent Home Page

- 2.1. The system shall display student information for students that are registered or enrolled in a private school with tabs to the student's informational pages (General, Fee Schedule, Scholarship, History & Payment).
- 2.2. The system shall display a link to file intent for another student "*Apply for a McKay Scholarship*".
 - 2.2.1.1. The system shall request the student's district, First Name, Last Name, DOB and radio buttons to indicate whether the student is an ESE student with an IEP or 504 student, Click Search.
 - 2.2.1.2. The parent will walk through the same steps above except entering the parent's information.

- 2.3. The system shall display a link to check the intent status for another student.
 - 2.3.1. The system shall request the Last Name, DOB and Confirmation Number to check the intent status of another student, Click Continue.
 - 2.3.1.1. The system shall display the student's information, funding factors and Scholarship information.
- 2.4. The system shall display a link to the McKay Scholarship Payment Deadlines.
- 2.5. The system shall display a link to the student (enrolled or registered status) to view their:
- 2.6. General information:
 - 2.6.1. The system shall display Student Information (non-editable, pulled from survey 2 & 3 and last public school).
 - 2.6.2. The system shall display the Student's Intent Status. Note: Military and Foster Care students do not have to qualify with prior year status.
 - 2.6.3. The system shall display the Parent's information with Editable fields.
- 2.7. Fee Schedule – The student's most current fee schedule.
- 2.8. Scholarship – The student's funding factors and scholarship information.
- 2.9. History – The event history of the student determined by business rules.
- 2.10. Payment – The student's payment eligibility checklist based on selected pay period.

District McKay Contact Login

This login is for Public School District Administrators.

1. District Home Page

The system shall display an informational window with pertinent information.

2. Gardiner Payment Candidate List

- 2.1. The system shall display a drop down filter (School Year) and Last Name and Birth Date fillable fields to allow a District to search Gardiner students.

3. Gardiner Student List

- 3.1. The system shall display drop down filters (School Year and Parent Matrix Request) and a Last Name and Birth Date fillable fields to search Gardiner students.
- 3.2. The system shall display all Gardiner students in columnar and row format (Last Name, Middle Name, First Name, SSN, DOB, Matrix and Requested Matrix Update).
- 3.3. The system shall allow the Gardiner student list to be an Exportable Excel file.

4. McKay Student List

- 4.1. The system shall display drop down filters (Eligibility, Student Status and School Year) and a Last Name fillable field to search McKay students.
- 4.2. The system shall display all McKay students in columnar and row format (Student, Student ID, DOB, Grade, Public School, Intent Date, Exceptionality, Eligibility, Enroll Date, and Original School Year).
 - 4.2.1. The student's name shall be a hyperlink to access the student's information in view-only:
 - 4.2.1.1. Student Information
 - 4.2.1.2. Student Intent
 - 4.2.1.3. Parent Information
 - 4.2.1.4. At this point, the system shall allow the district to access the student's informational pages (General/Matrix/Scholarship/504 Eligibility/etc.).
- 4.3. The system shall allow the McKay student list to be an Exportable Excel file.

5. McKay EPS Student List

- 5.1. The system shall allow districts to view students who are Enrolled in Public School (EPS) for the current pay period. During certain windows, districts can remove a prior incorrect notice of student ineligibility (EPS).

6. District Administration

- 6.1. The system shall allow districts to manage their password.
- 6.2. The system shall allow district to manage their district administrators contact information with editable fields (First Name, Last Name, Phone, Fax and email address).

Administrator Login

This login is for School Choice Office Administrators. This login provides different access based on the rights provided.

1. Search Students

- 1.1. The system shall allow an administrator to search students. The Search Students page is defaulted to McKay students. Users can select the Florida Tax Credit (FTC) students or Full Time Equivalent (FTE) student's hyperlinks to search those students.
- 1.2. The system shall allow admin user with specific permissions to edit any student's information.
- 1.3. The system shall display the student's event history once you have accessed the student's general information page.
 - 1.3.1. The system shall display the following related fields for each historical event, detail, date, event, user and submitted by.

1.4. McKay Student Search

- 1.4.1. The system shall provide search criteria (year, district and private school based on the district selected), Student Criteria (status, first name, and last name, DOB, RecID and Student ID) and Parent Criteria (parent first name, parent last name and parent SSN) for Admin users to search for McKay students.
- 1.4.2. The system shall display the student search results in columnar/row format with the following fields, student name (hyperlink to student's general info page), student ID, RecID, DOB, district, grade, status, private school, and intent type.
- 1.4.3. The system shall allow the McKay student list to be an Exportable Excel file.

1.5. FTC Student Search

- 1.5.1. The system shall provide search criteria (year, district, student status and last name) for Admin users to search for FTC students.
- 1.5.2. The system shall display the student search results in columnar/row format with the following fields, student name (hyperlink to student's general info page), DOB, grade, district, school, school type and Scholarship Funding Organization (SFO).
- 1.5.3. The system shall allow the FTC student list to be an Exportable Excel file.

1.6. Hope Student Search

- 1.6.1. The system shall provide search criteria (year, district, student status and last name) for Admin users to search for Hope students.
- 1.6.2. The system shall display the student search results in columnar/row format with the following fields, student name (hyperlink to student's general info page), DOB, grade, district, school, school type and Scholarship Funding Organization (SFO).
- 1.6.3. The system shall allow the Hope student list to be an Exportable Excel file.

1.7. FTE Student Search

- 1.7.1. The system shall provide search criteria (year, district, first name, last name, birth date, and student ID) for Admin users to search for FTE students.

- 1.7.2. The system shall display the student search results in columnar/row format with the following fields, student name (hyperlink to student's general info page), student ID Record ID, DOB, district, grade and public school.
- 1.7.3. The system shall allow the FTE student list to be an Exportable Excel file.
- 1.7.4. The system shall allow an Admin user to file intent for a student when found in survey tables from their FTE student detail page.

2. Intent Students

- 2.1. The system shall provide search criteria (district, school year and last name) for admin users to search intent students.
 - 2.1.1. The system shall display the search results in columnar/row format with the following fields, school year, RecID, Req. date, SSN, confirmation number, student name (hyperlink to student's general info page), DOB and phone number.

3. Ineligible Intents

- 3.1. The system shall provide search criteria (district and school year) for admin users to search ineligible intent students.
 - 3.1.1. The system shall display the search results in columnar/row format with the following fields, district, program type, Intent date, student ID and ineligible reason.

4. Foster Intent Students

- 4.1. The system shall display the foster intent student list for the year selected (defaults to the current year).
 - 4.1.1. The system shall display the search results in columnar/row format with the following fields, date submitted, school year, student name, district, and intent status.
 - 4.1.2. The system shall also display links associated with each student to View the student/parent information, Edit the student/parent information or Delete the student's intent.

5. Military Intent Students

- 5.1. The system shall display the military intent student list for the year selected (defaults to the current year).
 - 5.1.1. The system shall display the search results in columnar/row format with the following fields, date submitted, school year, student name, district, and intent status.
 - 5.1.2. The system shall also display links associated with each student to View the student/parent information, Edit the student/parent information or Delete the student's intent.

6. Student Intent

- 6.1. The system shall allow an admin user to file intent for any student found in survey tables.

7. Student Intent Delete

- 7.1. The system shall allow an admin user to delete a student's intent by searching for a student using their RecID.

8. Student Intent Type Change

- 8.1. The system shall allow an admin user to change intent type from IEP to 504 plan.

9. Gardiner Student Payment Returns

- 9.1. The system shall provide search criteria (school year, SFO sequence number, RecID, first name, last name, and DOB) for admin users to search Gardiner student payment returns.

- 9.1.1. The system shall display the search results in columnar/row format with the following fields, RecID, school year, SFO sequence number, student first name, student last name, DOB, SSN, student status, payment status, scholarship amount, paid month, paid amount, and admin fee. Admin users with the correct permissions can cancel the student's full scholarship payment from this list or indicate a partial return.

10. Reading Student Payment Returns

- 10.1. The system shall provide search criteria (school year, SFO sequence number, RecID, first name, last name, and DOB) for admin users to search Reading student payment returns.
 - 10.1.1. The system shall display the search results in columnar/row format with the following fields, RecID, school year, SFO sequence number, student first name, student last name, DOB, FLEID, student status, payment status, scholarship amount, paid month, paid amount, and admin fee. Admin users with the correct permissions can cancel the student's full scholarship payment from this list or indicate a partial return.

11. Search Schools

- 11.1. The system shall allow admin users to select a district and provide search criteria (school code, school name, status and program for admin users to search Private Schools.
 - 11.1.1. The system shall display the search results in columnar/row format with the following fields, private school name, history, comments and reset login information.
 - 11.1.2. The system shall allow admin users to edit the schools information:
 - 11.1.2.1. General Information
 - 11.1.2.2. Contact Information
 - 11.1.2.3. Accreditations
 - 11.1.2.4. Program Participation – Admin users can request to participate on behalf of the school
 - 11.1.2.5. Annual Survey – Admin users can access pdf versions of prior annual surveys
 - 11.1.2.6. Compliance Form
 - 11.1.2.7. Renewal
 - 11.1.2.8. Attendance Verification
 - 11.1.3. The system shall display the schools event history information in columnar/row format.
 - 11.1.4. The system shall display any comments entered for the private school and the ability to review, edit or add a new comment.

12. Manage Private Schools

- 12.1. The system shall allow the admin user the ability to manage a listing of private schools. Users can search by district, school name, status and programs.
- 12.2. The system shall display the schools in columnar/row format with the following fields, district, school code, school name, password, status and year closed (if applicable).
- 12.3. The system provide a hyperlink to the school name where admin users can edit the school's information (same as searching for the school).
- 12.4. The system shall allow admin user to look up private school's passwords. Users can search by district, school name, status and program.

13. Private School Annual Report

- 13.1. The system shall provide the Private School Survey History. Users can search by district.

14. Private School Compliance Form Report

- 14.1. The system shall display a listing on Compliance Forms for the current FY.
 - 14.2. The system shall display the information in columnar/row format with the following fields, #, district number, school code, school name, and submission date.
15. Pending School Code Requests
- 15.1. The system shall display a list of pending school code requests. The requests can be filtered on completed, pending or manage existing private school.
 - 15.2. The system shall display the information in columnar/row format with the following fields, edit functions (delete/edit/view), received date, processed date, sent date, name of school, district, and the capability to email contacts at the private school directly from the page.
16. Gardiner Student List
- 16.1. The system shall display the SFO name, student count and total scholarship amount for all SFOs. The system shall present live report of funds available.
 - 16.2. The system shall allow admin users to search Gardiner students using the following filters, school year, district, SFO, first name, last name, birth date, student ID and status.
 - 16.3. The system shall display the total number of records in columnar/row format with the following fields, school year, SFO name, first name, middle name, district, gender, DOB parent name, grade, matrix, disability, eligibility evidence, status, annual scholarship amount, eligibility % and scholarship amount.
 - 16.4. The system shall allow an admin user to create a new Gardiner student.
 - 16.5. The system shall allow the Gardiner student list to be an Exportable Excel file.
 - 16.6. The system shall allow an admin user to click on the Select button associated with each student and edit the student's information.
17. Gardiner Payment Processing
- 17.1. The system shall allow admin users to create funding reports and notify the SFOs of this information.
 - 17.2. The system shall allow admin users to filter by school year and month to generate the payment candidates file.
 - 17.3. The system shall populate elements within the tables to display the payment candidate list with the following fields, RecID, student first name, student last name, SSN, gender, In which programs, evidence found, approved funding, eligible scholarship percentage and comments.
18. Parent Affidavits
- 18.1. The system shall allow admin users to search parents to upload a pdf of affidavit, associated with the correct parent and view other uploaded affidavits.
 - 18.2. The system shall display the parent affidavits details with the following fields, parent ID, student ID, received (Y/N), parent mismatch (Y/N) and comments field.
 - 18.3. The system shall allow the user to browse for a file to select and upload the document. A comment box is displayed and optional.
19. Tools
- 19.1. McKay Payment System
 - 19.1.1. The system shall allow admin user with the correct permission to access the payment website.
 - 19.1.2. The system shall provide school year and payment period filters on the main menu of the payment website to select and access the main menu options.
 - 19.1.3. The system shall allow the user access to the following menu options:
 - 19.1.3.1. Generate Regular Payment Candidates

- 19.1.3.1.1. The system allows the user to select a button to generate candidate list, once the system is finished generating the list, the user will receive an email that the processing is complete.
- 19.1.3.1.2. The system will post the list of candidates on the main menu under candidate batches.
- 19.1.3.1.3. The system will allow the user to select the recent or previous candidate batches to view the candidate batches menu. Once the user accesses a candidate batch, a drop down navigation window populates to move easily through the batch menu, main menu and admin menu. The user can:
 - 19.1.3.1.3.1. View candidates – candidate list is provided in columnar/row format with the following fields, EnrolledID, RecID, student name, school, run date, reject records, payment generated and eligible for.
 - 19.1.3.1.3.2. View rejects – reject list is provided in columnar/row format with the following fields, Reject ID, RecID, EnrolledID, student name, school year, pay period, reject reason and reject date.
 - 19.1.3.1.3.3. Calculate payments – the payment system will automatically generate reject records for student ineligible for payment due to intent date, enroll date, EPS, no attendance verification, etc.
- 19.1.3.2. Add Candidates Manually (Special) – the system shall allow admin users to add candidates manually using the student’s RecID or uploading an excel file.
- 19.1.3.3. Payment EPS List – the system shall allow admin users to search Payment EPS list or view all students to remove an EPS flag for a student during any pay period (1-4).
- 19.1.3.4. Generate Payment File for Comptroller – the system shall allow admin users to generate a file to the comptroller’s office by selecting the BatchID and clicking build payment file.
- 19.1.3.5. Generate FedEx File – the system shall allow admin users to generate mailing labels for the BatchID created.
- 19.1.3.6. Generate OFFR File – the system shall allow admin users to generate a payment file to the Office of Funding and Financial Reporting (OFFR).
- 19.1.4. The system shall allow the user to access Payment Batches. Once the user accesses a payment batch, a drop down navigation window populates to move easily through the batch menu, main menu and admin menu.
 - 19.1.4.1. The system shall allow the admin user to click on the payment batch ID and the Payment Batch Options menu is present. The user can:
 - 19.1.4.2. View Payments – the system shall allow an admin user to view payments, they are presented in columnar/row format with the following fields, Payment ID, RecID, EnrolledID, last name, first name, annual tuition, payment amt, eligible for and status. The user can also export payments and cancel a payment.
 - 19.1.4.3. View Candidates –the system shall display candidates in columnar/row format with the following fields, EnrolledID, RecID, Student name, school, run date, reject records, payment generated and eligible for.
 - 19.1.4.4. View Rejects – the system shall display reject records in columnar/row format with the following fields, RejectID, RecID, EnrolledID, student name, school year, pay period, reject reason and reject date.

- 19.1.4.5. Edit Comments – the system shall allow users to enter comments regarding the batch process, once the user enters comments, the user can edit comment last entered.
- 19.1.4.6. Vendor Report – the system shall allow admin users to generate a vendor report.
- 19.1.4.7. Voucher Report – the system shall allow admin users to view the voucher report of the amount of vouchers in the recent payment batch.
- 19.2. Payment Reconciliation Batch – the system shall allow an admin user to turn on and off payment batches on the Private School Home Page. The user will select the batch and click submit.
- 19.3. Agency Action Administration
 - 19.3.1. The system shall allow admin users the ability to log, track and search administrative actions taken against participating private schools.
 - 19.3.2. The system shall allow users to search admin actions using the following search criteria: district, school code, contact name, owner name, draft date, issued date, school name, director name and school address.
 - 19.3.3. The system shall display the list of agency actions in columnar/row format with the following fields, select, edit, ID, draft, issued, school, action, physical location, payment, fraud, other, deadline, NRT, and AUP.
 - 19.3.3.1. Once the user clicks on the select button, the system displays the agency action and school details.
 - 19.3.3.2. Once the user clicks on the edit button (pencil), the system displays (editable) the original agency action.
 - 19.3.4. The system shall allow the user to export the agency actions into an excel file.
- 19.4. Attendance Verification Dates
 - 19.4.1. The system shall allow admin users to set attendance verification dates for Pay periods 2, 3, 4 and a special window. The admin user can manually enter the dates and select the pay period.
- 19.5. Call Tracking System
 - 19.5.1. The system shall allow admin users with certain permission to create calls to track and search previous tracked calls.
 - 19.5.2. The system shall allow an admin user to create a new call to track.
 - 19.5.2.1. The system shall create the call log with the following data elements:
 - 19.5.2.1.1. Customer first and last name
 - 19.5.2.1.2. Student first and last name
 - 19.5.2.1.3. District
 - 19.5.2.1.4. School Code/School
 - 19.5.2.1.5. Call Back Phone Number
 - 19.5.3. The system shall allow an admin user to search previous tracked calls.
 - 19.5.3.1. The system shall populate a list of previous tracked calls.
 - 19.5.3.2. The system shall provide an advance search form to search previous tracked calls.
- 19.6. FedEx Tracking Message
 - 19.6.1. The system shall allow admin user to turn FedEx Tracking Message on and off on the Private School Home Page. The user shall select the payment date, shipping date and delivery date.
- 20. Admin Reports
 - 20.1. The system shall allow admin users to run reports and export all filtered/unfiltered search results in excel format. Certain search results may also be exported in delimited or fixed-width flat files.
 - 20.2. Private School Reports

- 20.2.1. Attendance Verification Summary Report – the system will provide the report when the program, school year, payment method and completion status are selected. The report provides the status of the private school’s attendance verification.
 - 20.2.2. Data Integrity Checks – the system provides the data count for data elements requested.
 - 20.2.3. All Private School List Report – the system provides a list of all private schools, users can filter on district, school ID, school code, school name, address, owner, contact and/or director.
 - 20.2.4. School Name Change Report – the system shall display the school ID, district ID, district name, school code, school previous name, school updated name, school current name and the date the system updated the name on.
 - 20.2.5. Fiscal Soundness Report – Participating private schools in operation fewer than 3 years must provide fiscal soundness documentation based on scholarship funds received. The system shall display the region code, district ID, district name, school code, school name, status, address, city, zip, director name, credit bond amount, McKay payment, bond through date, over bond amount and FTC student count.
- 20.3. General Program Reports
- 20.3.1. Scholarship Participation Statistics Report – the system shall display the intent statistics (current school year), McKay Registration and Enrollment Statistics, McKay Summary and Private School Statistics.
 - 20.3.2. McKay Scholarship Refund Amount Reports – the system shall generate the scholarship refund report and the scholarship payment log report.
 - 20.3.2.1. The system shall display the refund report in columnar/row format with the following fields, RecID, last name first name, batch ID, period, apply first attended date, withdraw dates, amount, school ID, school name, school code, address, director, status, payment ID, parent last name, parent first name, voucher number, and count.
 - 20.3.2.2. The system shall display the scholarship payment log report with the following fields, last name, first name, amount, school name, parent last name and parent first name.
 - 20.3.3. Agency Action Report – the system shall generate an agency action status report with the following fields, ID, draft date, issued date, district, school code, school, action, status, status date and reason.
- 20.4. McKay Student Reports
- 20.4.1. Intent Students – the system shall generate a list of all intent students that it can filter by district and school year. The system displays the results in columnar/row format with the following fields, school year, RecId, Req date, stud SSN, Conf number, student (links to student’s general info page), DOE and phone number.
 - 20.4.2. Data Integrity Checks – the system shall generate enrolled (current year) and intent (previous year) student information based on business rules.
 - 20.4.2.1. All students
 - 20.4.2.2. Intent Students
 - 20.4.2.3. Registered Students
 - 20.4.2.4. Enrolled Students
 - 20.4.2.5. Withdrawn Students
- 20.5. McKay Parent Reports
- 20.5.1. Parent Reports – the system shall generate a listing of parents based on the users selection:
 - 20.5.1.1. Parents with duplicate SSNs, the fields displayed are parent ID, parent name, parent SSN, number of students, and delete parent record.

- 20.5.1.2. Parents with missing SSNs, the fields displayed are parent ID, parent name, parent SSN, and number of students.
- 20.5.1.3. Parents with suspicious SSNs, the fields displayed are parent ID, parent name and parent SSN.
- 20.5.1.4. Parents without students, the fields displayed are parent ID, parent name, parent SSN and the capability to delete the parent record.
- 20.5.1.5. All parents, the fields displayed are parent ID, parent name and parent SSN.
- 20.5.2. Parent Survey Results – the system shall display parent survey results after filtering by school year and select Get Survey Results. The system shall display the questions and answers (strongly agree, agree, no opinion or N/A, disagree or strongly disagree).
- 20.5.3. Parents with Duplicate SSNs – the system displays a report of parents with duplicate SSNs and the fields displayed are parent ID, parent, SSN, Verified?, and Affidavit?
- 20.6. Gardiner Reports
 - 20.6.1. Generate Post Payment Monthly Reports – the system provides the following filters to generate this report, school year, month name, SFO name, and Report name.
 - 20.6.1.1. Invoice Report – the system displays the following fields, SFO sequence number, student last name, zip, county, eligibility confirmed date, scholarship amount, student first name, DOB, SSN, gender, race, current grade, address, city, state, disability, eligibility evidence and matrix.
 - 20.6.1.2. Post Payments File – the system displays the following fields, SFO sequence number, student last name, zip, county, eligibility confirmation date, scholarship amount, admin fee amount, student first name, DOB, SSN, gender, race, current grade, address, city, state, disability, eligibility evidence and matrix.
 - 20.6.1.3. Pre Payments - the system displays the following fields, SFO sequence number, student last name, DOB, SSN, gender, race, current grade, address, city, state, zip, county, disability, matrix, max scholarship amount, eligibility confirmation date, eligible scholarship %, previous payments, scholarship amount, in FTC, Other, EPS, evidence found, approved for funding, and comments.
 - 20.6.1.4. Reconciliation Report - the system displays the following fields, SFO sequence number, student first name, student last name, SSN, scholarship amount, enrolled in FTC, others, EPS and comments.
 - 20.6.2. Gardiner Prior Year Report – the system generates the report to provide to the SFOs and displays the following fields, RecID, SFO name, year found, SFO sequence number, student last name, Balance \$0?, Not Eligible Under (6)(b)?, and comments.
- 20.7. Reading Reports
 - 20.7.1. Generate Post Payment Monthly Reports – the system provides the following filters to generate this report, school year, month name, SFO name, and Report name.
 - 20.7.1.1. Invoice Report – the system displays the following fields, SFO sequence number, student last name, zip, county, eligibility confirmed date, scholarship amount, student first name, DOB, FLEID, gender, race, current grade, address, city, state.
 - 20.7.1.2. Post Payments File – the system displays the following fields, SFO sequence number, student last name, zip, county, eligibility confirmation date, scholarship amount, admin fee amount, student first name, DOB, FLEID, gender, race, current grade, address, city, state.
 - 20.7.1.3. Pre Payments - the system displays the following fields, SFO sequence number, student last name, DOB, FLEID, gender, race, current grade,

address, city, state, zip, county, eligibility confirmation date, scholarship amount, approved for funding, and comments.

20.7.1.4. Reconciliation Report - the system displays the following fields, SFO sequence number, student first name, student last name, FLEID, scholarship amount, and comments.

20.7.2. Reading Prior Year Report – the system generates the report to provide to the SFOs and displays the following fields, RecID, SFO name, year found, SFO sequence number, student last name, Balance \$0?, and comments.

21. Complaint Administration

- 21.1. The system shall allow admin users to log, edit and search complaints filed against participating private schools.
- 21.2. The system shall allow admin users to search complaint with the following criteria, district, complaint name, school code, school name, school address, date, director name, contact name and owner name.
- 21.3. The system shall display the list of complaints in columnar/row format with the following fields, select, view, edit, ID, received, program type, complaint, district, student name and school.
 - 21.3.1. Once the user clicks on the select button, the system displays the complaint events and school detail.
 - 21.3.2. Once the user clicks on the view button (picture), the system displays (not editable) the original complaint.
 - 21.3.3. Once the user clicks on the edit button (pencil), the system displays (editable) the original complaint.
- 21.4. The system shall allow the user to export the complaints into an excel file.

22. Website

22.1 Website Messages

- 22.1.1. The system shall allow admin users with the permissions to create, view, edit and delete messages displayed on the website.
- 22.1.2. The system shall display posted messages within a certain timeframe determined by admin or based on business rules.

22.2. Website Navigation Menus

- 22.2.1. The system shall allow admin users with the permissions to edit the left menus within each of the logins, to include adding/deleting links and adding/editing/deleting headers.

22.3. Website User Administration

- 22.3.1. The system shall allow admin users with the permissions to create admin users with specific permissions and/or view-only access.
 - 22.3.1.1. The system allows admin users to view:
 - 22.3.1.1.1. Application Permissions
 - 22.3.1.1.2. Users
 - 22.3.1.1.3. Inactive Users
- 22.3.2. The system shall allow admin users with the permissions to create Accrediting Agency users (currently done in TOAD).
- 22.3.3. The system shall allow admin users with the permissions to create Scholarship Funding Organization users (currently done in TOAD).

23. District Contact Information

- 23.1. The system shall allow admin users the capability to view, add and edit a district contact.
- 23.2. The system shall allow admin users the capability to view district passwords.

CBAForm 1 - Net Tangible Benefits

| | | | |
|--------|-----|---------|--------|
| Agency | DOE | Project | Choice |
|--------|-----|---------|--------|

| Net Tangible Benefits - Operational Cost Changes (Costs of Current Operations versus Proposed Operations as a Result of the Project) and Additional Tangible Benefits -- CBAForm 1A | | | | | | | | | | | | | | | |
|---|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--------------------------------|--|-------------------------------|--|--|-------------------------------|--------------------------------|--|
| Agency <i>(Recurring Costs Only -- No Project Costs)</i> | 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 | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 |
| A.b Total Staff | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 |
| A-1.a. State FTEs (Salaries & Benefits) | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 | \$1,805,426 | \$0 | \$1,805,426 |
| A-1.b. State FTEs (#) | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 | 26.00 | 0.00 | 26.00 |
| 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 | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 |
| 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>Cost Recovery - Premium</i> | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 | \$14,364 | \$0 | \$14,364 |
| C. Data Center Provider Costs | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 |
| C-1. Managed Services (Staffing) | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 | \$104,471 | \$0 | \$104,471 |
| 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 | \$159,669 | \$0 | \$159,669 | \$159,669 | \$0 | \$159,669 | \$159,669 | \$0 | \$159,669 | \$159,669 | \$0 | \$159,669 | \$159,669 | \$0 | \$159,669 |
| E. Other Costs | \$545,488 | \$0 | \$545,488 | \$545,488 | \$0 | \$545,488 | \$545,488 | \$0 | \$545,488 | \$545,488 | \$0 | \$545,488 | \$545,488 | \$0 | \$545,488 |
| E-1. Training | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| E-2. Travel | \$57,451 | \$0 | \$57,451 | \$57,451 | \$0 | \$57,451 | \$57,451 | \$0 | \$57,451 | \$57,451 | \$0 | \$57,451 | \$57,451 | \$0 | \$57,451 |
| E-3. Other <i>Cost Recovery - Shared</i> | \$488,037 | \$0 | \$488,037 | \$488,037 | \$0 | \$488,037 | \$488,037 | \$0 | \$488,037 | \$488,037 | \$0 | \$488,037 | \$488,037 | \$0 | \$488,037 |
| Total of Recurring Operational Costs | \$2,629,418 | \$0 | \$2,629,418 | \$2,629,418 | \$0 | \$2,629,418 | \$2,629,418 | \$0 | \$2,629,418 | \$2,629,418 | \$0 | \$2,629,418 | \$2,629,418 | \$0 | \$2,629,418 |
| F. Additional Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-1. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-2. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| F-3. <i>Specify</i> | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |
| Total Net Tangible Benefits: | | \$0 | | | \$0 | | | \$0 | | | \$0 | | | \$0 | |

| CHARACTERIZATION OF PROJECT BENEFIT ESTIMATE -- CBAForm 1B | | | |
|--|-------------------------------------|---------------------|---------------|
| Choose Type | | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | <input checked="" type="checkbox"/> | Confidence Level | 90% |
| Order of Magnitude | <input type="checkbox"/> | Confidence Level | |
| 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 | DOE | Choice | | | | | | | | | | | | | | | | | | | |
| | | | | CBA Form 2A Baseline Project Budget | | | | | | | | | | | | | | | | | |
| | | | | FY2019-20 | | | FY2020-21 | | | FY2021-22 | | | FY2022-23 | | | FY2023-24 | | | TOTAL | | |
| | | | | \$ - | \$ 2,800,000 | | \$ 710,249 | | \$ - | | \$ - | | \$ - | | \$ - | | \$ - | | \$ 3,510,249 | | |
| 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 | Staffing costs for personnel using Time & Expense. | Staff Augmentation | Contracted Services | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - |
| 8 | Project management personnel and related deliverables. | Project Management | Contracted Services | \$ - | 2.00 | \$ 328,000 | \$ - | 2.00 | \$ 328,000 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 656,000 |
| 9 | Project oversight to include Independent Verification & Validation (IV&V) personnel and related deliverables. | 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 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ - |
| 11 | Separate requirements analysis and feasibility study procurements. | Project Planning/Analysis | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - |
| 12 | Hardware purchases not included in data center services. | Hardware | OCO | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - |
| 13 | Commercial software purchases and licensing costs. | Commercial Software | Contracted Services | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ - |
| 14 | Professional services with fixed-price costs (i.e. software development, installation, project documentation) | Project Deliverables | Contracted Services | \$ - | | \$ 1,965,345 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 1,965,345 |
| 15 | All first-time training costs associated with the project. | Training | Contracted Services | \$ - | | \$ - | \$ - | | \$ 150,000 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 150,000 |
| 16 | Include the quote received from the data center provider for project equipment and services. Only include one-time project costs in this row. Recurring, project-related data center costs are included in CBA Form 1A. | Data Center Services - One Time Costs | Data Center Category | \$ - | | \$ 128,500 | \$ - | | \$ 128,500 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 257,000 |
| 17 | Other contracted services not included in other categories. | Other Services | Contracted Services | \$ - | | \$ 334,978 | \$ - | | \$ 64,568 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 399,546 |
| 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 | \$ - | | \$ 3,996 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 3,996 |
| 19 | Include costs associated with leasing space for project personnel. | Leased Space | Expense | \$ - | | \$ 19,741 | \$ - | | \$ 19,741 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 39,482 |
| 20 | Other project expenses not included in other categories. | Other Expenses | Expense | \$ - | | \$ 19,440 | \$ - | | \$ 19,440 | \$ - | | \$ - | \$ - | | \$ - | \$ - | | \$ - | \$ - | \$ - | \$ 38,880 |
| 21 | Total | | | \$ - | 2.00 | \$ 2,800,000 | \$ - | 2.00 | \$ 710,249 | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | 0.00 | \$ - | \$ - | \$ - | \$ 3,510,249 |

CBAForm 2 - Project Cost Analysis

| | | | |
|--------|------------|---------|---------------|
| Agency | <u>DOE</u> | Project | <u>Choice</u> |
|--------|------------|---------|---------------|

| 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 (*) | \$2,800,000 | \$710,249 | \$0 | \$0 | \$0 | \$3,510,249 |
| CUMULATIVE PROJECT COSTS <small>(includes Current & Previous Years' Project-Related Costs)</small> | \$2,800,000 | \$3,510,249 | \$3,510,249 | \$3,510,249 | \$3,510,249 | |
| 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 type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Grants <input type="checkbox"/> | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Other <input type="checkbox"/> Specify | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| TOTAL INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| CUMULATIVE INVESTMENT | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |

| Characterization of Project Cost Estimate - CBAForm 2C | | |
|--|---------------------|---------------|
| Choose Type | Estimate Confidence | Enter % (+/-) |
| Detailed/Rigorous | Confidence Level | |
| Order of Magnitude Yes | Confidence Level | 70% |
| Placeholder | Confidence Level | |

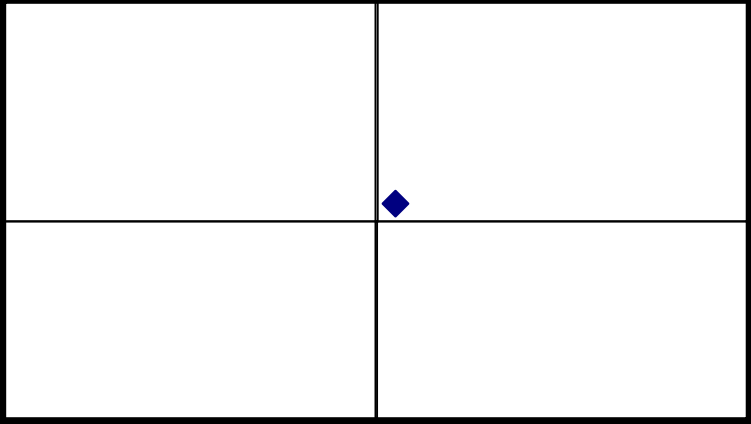
CBAForm 3 - Project Investment Summary

| | | | |
|--------|------------|---------|---------------|
| Agency | <u>DOE</u> | Project | <u>Choice</u> |
|--------|------------|---------|---------------|

| <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 | \$2,800,000 | \$710,249 | \$0 | \$0 | \$0 | \$3,510,249 |
| Net Tangible Benefits | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 |
| Return on Investment | (\$2,800,000) | (\$710,249) | \$0 | \$0 | \$0 | (\$3,510,249) |
| Year to Year Change in Program Staffing | 0 | 0 | 0 | 0 | 0 | |

| <i>RETURN ON INVESTMENT ANALYSIS -- CBAForm 3B</i> | | |
|--|---------------|---|
| Payback Period (years) | NO PAYBACK | Payback Period is the time required to recover the investment costs of the project. |
| Breakeven Fiscal Year | NO PAYBACK | Fiscal Year during which the project's investment costs are recovered. |
| Net Present Value (NPV) | (\$3,428,447) | NPV is the present-day value of the project's benefits less costs over the project's lifecycle. |
| Internal Rate of Return (IRR) | NO IRR | IRR is the project's rate of return. |

| <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% |

| | B | C | D | E | F | G | H |
|----|---|---|---|---|-------------------|---|----------------------|
| 3 | Project | | <i>School Choice Conversion Project</i> | | | | |
| 4 | | | | | | | |
| 5 | Agency | | <i>Department of Education</i> | | | | |
| 6 | FY 2019-20 LBR Issue Code: | | | FY 2019-20 LBR Issue Title: | | | |
| 7 | | | | <i>Information Technology Application</i> | | | |
| 8 | Risk Assessment Contact Info (Name, Phone #, and E-mail Address): | | | | | | |
| 9 | <i>Cassandra J. Grayson, 850-245-9573, Cassandra.grayson@fldoe.org</i> | | | | | | |
| 10 | Executive Sponsor | | | | | | |
| 11 | Project Manager | | | | | | |
| 12 | Prepared By | | <i>Cassandra J. Grayson</i> | | <i>10/18/2018</i> | | |
| 14 | Risk Assessment Summary | | | | | | |
| 15 |  | | | | | | |
| 16 | | | | | | | |
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| 26 | | | | | | | |
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| 28 | | | | | | | |
| 29 | | | | | | | |
| 30 | Level of Project Risk | | | | | | |
| 31 | | | | | | | |
| 32 | | | | | | | |
| 34 | Project Risk Area Breakdown | | | | | | |
| 35 | Risk Assessment Areas | | | | | | <i>Risk Exposure</i> |
| 36 | Strategic Assessment | | | | | | MEDIUM |
| 37 | | | | | | | |
| 38 | Technology Exposure Assessment | | | | | | MEDIUM |
| 39 | | | | | | | |
| 40 | Organizational Change Management Assessment | | | | | | MEDIUM |
| 41 | | | | | | | |
| 42 | Communication Assessment | | | | | | MEDIUM |
| 43 | | | | | | | |
| 44 | Fiscal Assessment | | | | | | MEDIUM |
| 45 | | | | | | | |
| 46 | Project Organization Assessment | | | | | | MEDIUM |
| 47 | | | | | | | |
| 48 | Project Management Assessment | | | | | | MEDIUM |
| 49 | | | | | | | |
| 50 | Project Complexity Assessment | | | | | | MEDIUM |
| 51 | | | | | | | |
| 52 | | | | | | | |
| 53 | Overall Project Risk | | | | | | MEDIUM |

| | B | C | D | E |
|----|---------------------------------|---|--|--|
| 1 | Agency: Department of Education | | Project: School Choice Conversion Project | |
| 3 | Section 1 -- Strategic Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 1.01 | Are project objectives clearly aligned with the agency's legal mission? | 0% to 40% -- Few or no objectives aligned | 81% to 100% -- All or nearly all objectives aligned |
| 6 | | | 41% to 80% -- Some objectives aligned | |
| 7 | | | 81% to 100% -- All or nearly all objectives aligned | |
| 8 | 1.02 | Are project objectives clearly documented and understood by all stakeholder groups? | Not documented or agreed to by stakeholders | Documented with sign-off by stakeholders |
| 9 | | | Informal agreement by stakeholders | |
| 10 | | | Documented with sign-off by stakeholders | |
| 11 | 1.03 | Are the project sponsor, senior management, and other executive stakeholders actively involved in meetings for the review and success of the project? | Not or rarely involved | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings |
| 12 | | | Most regularly attend executive steering committee meetings | |
| 13 | | | Project charter signed by executive sponsor and executive team actively engaged in steering committee meetings | |
| 14 | 1.04 | Has the agency documented its vision for how changes to the proposed technology will improve its business processes? | Vision is not documented | Vision is partially documented |
| 15 | | | Vision is partially documented | |
| 16 | | | Vision is completely documented | |
| 17 | 1.05 | Have all project business/program area requirements, assumptions, constraints, and priorities been defined and documented? | 0% to 40% -- Few or none defined and documented | 41% to 80% -- Some defined and documented |
| 18 | | | 41% to 80% -- Some defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all defined and documented | |
| 20 | 1.06 | Are all needed changes in law, rule, or policy identified and documented? | No changes needed | 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 | Some |
| 26 | | | Some | |
| 27 | | | All or nearly all | |
| 28 | 1.08 | What is the external (e.g. public) visibility of the proposed system or project? | Minimal or no external use or visibility | Moderate external use or visibility |
| 29 | | | Moderate external use or visibility | |
| 30 | | | Extensive external use or visibility | |
| 31 | 1.09 | What is the internal (e.g. state agency) visibility of the proposed system or project? | Multiple agency or state enterprise visibility | Single agency-wide use or visibility |
| 32 | | | Single agency-wide use or visibility | |
| 33 | | | Use or visibility at division and/or bureau level only | |
| 34 | 1.10 | Is this a multi-year project? | Greater than 5 years | Between 1 and 3 years |
| 35 | | | Between 3 and 5 years | |
| 36 | | | Between 1 and 3 years | |
| 37 | | | 1 year or less | |

| | B | C | D | E |
|----|---------------------------------|--|--|--|
| 1 | Agency: Department of Education | | Project: School Choice Conversion Project | |
| 3 | Section 2 -- Technology Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 2.01 | Does the agency have experience working with, operating, and supporting the proposed technical solution in a production environment? | Read about only or attended conference and/or vendor presentation | Installed and supported production system more than 3 years |
| 6 | | | Supported prototype or production system less than 6 months | |
| 7 | | | Supported production system 6 months to 12 months | |
| 8 | | | Supported production system 1 year to 3 years | |
| 9 | | | Installed and supported production system more than 3 years | |
| 10 | 2.02 | Does the agency's internal staff have sufficient knowledge of the proposed technical solution to implement and operate the new system? | External technical resources will be needed for implementation and operations | External technical resources will be needed through implementation only |
| 11 | | | External technical resources will be needed through implementation only | |
| 12 | | | Internal resources have sufficient knowledge for implementation and operations | |
| 13 | 2.03 | Have all relevant technical alternatives/solution options been researched, documented and considered? | No technology alternatives researched | Some 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 defined only at a conceptual level |
| 24 | | | Capacity requirements are defined only at a conceptual level | |
| 25 | | | Capacity requirements are based on historical data and new system design specifications and performance requirements | |

| | B | C | D | E |
|----|--|--|--|--|
| 1 | Agency: Department of Education | | Project: School Choice Conversion Project | |
| 3 | Section 3 -- Organizational Change Management Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 3.01 | What is the expected level of organizational change that will be imposed within the agency if the project is successfully implemented? | Extensive changes to organization structure, staff or business processes | Minimal changes to organization structure, staff or business processes structure |
| 6 | | | Moderate changes to organization structure, staff or business processes | |
| 7 | | | Minimal changes to organization structure, staff or business processes structure | |
| 8 | 3.02 | Will this project impact essential business processes? | Yes | Yes |
| 9 | | | No | |
| 10 | 3.03 | Have all business process changes and process interactions been defined and documented? | 0% to 40% -- Few or no process changes defined and documented | 0% to 40% -- Few or no process changes defined and documented |
| 11 | | | 41% to 80% -- Some process changes defined and documented | |
| 12 | | | 81% to 100% -- All or nearly all processes 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 similar 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 | Routine feedback in Plan |
| 8 | | | Routine feedback in Plan | |
| 9 | | | Proactive use of feedback in Plan | |
| 10 | 4.03 | Have all required communication channels been identified and documented in the Communication Plan? | Yes | Yes |
| 11 | | | No | |
| 12 | 4.04 | Are all affected stakeholders included in the Communication Plan? | Yes | Yes |
| 13 | | | No | |
| 14 | 4.05 | Have all key messages been developed and documented in the Communication Plan? | Plan does not include key messages | Some key messages have been developed |
| 15 | | | Some key messages have been developed | |
| 16 | | | All or nearly all messages are documented | |
| 17 | 4.06 | Have desired message outcomes and success measures been identified in the Communication Plan? | Plan does not include desired messages outcomes and success measures | Success measures have been developed for some messages |
| 18 | | | Success measures have been developed for some messages | |
| 19 | | | All or nearly all messages have success measures | |
| 20 | 4.07 | Does the project Communication Plan identify and assign needed staff and resources? | Yes | Yes |
| 21 | | | No | |

| | B | C | D | E |
|----|---------------------------------|--|---|---|
| 1 | Agency: Department of Education | | Project: School Choice Conversion Project | |
| 3 | Section 5 -- Fiscal Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 5.01 | Has a documented Spending Plan been approved for the entire project lifecycle? | Yes | Yes |
| 6 | | | No | |
| 7 | 5.02 | Have all project expenditures been identified in the Spending Plan? | 0% to 40% -- None or few defined and documented | 41% to 80% -- Some 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%) | Order of magnitude – estimate could vary between 10-100% |
| 18 | | | Order of magnitude – estimate could vary between 10-100% | |
| 19 | | | Placeholder – actual cost may exceed estimate by more than 100% | |
| 20 | 5.06 | Are funds available within existing agency resources to complete this project? | Yes | No |
| 21 | | | No | |
| 22 | 5.07 | Will/should multiple state or local agencies help fund this project or system? | Funding from single agency | Funding from 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 | Not applicable |
| 26 | | | Requested but not received | |
| 27 | | | Requested and received | |
| 28 | | | Not applicable | |
| 29 | 5.09 | Have all tangible and intangible benefits been identified and validated as reliable and achievable? | Project benefits have not been identified or validated | Some project benefits have been identified but not validated |
| 30 | | | Some project benefits have been identified but not validated | |
| 31 | | | Most project benefits have been identified but not validated | |
| 32 | | | All or nearly all project benefits have been identified and validated | |
| 33 | 5.10 | What is the benefit payback period that is defined and documented? | Within 1 year | No payback |
| 34 | | | Within 3 years | |
| 35 | | | Within 5 years | |
| 36 | | | More than 5 years | |
| 37 | | | No payback | |
| 38 | 5.11 | Has the project procurement strategy been clearly determined and agreed to by affected stakeholders? | Procurement strategy has not been identified and documented | Stakeholders have reviewed and approved the proposed procurement strategy |
| 39 | | | Stakeholders have not been consulted re: procurement strategy | |
| 40 | | | Stakeholders have reviewed and approved the proposed procurement strategy | |
| 41 | 5.12 | What is the planned approach for acquiring necessary products and solution services to successfully complete the project? | Time and Expense (T&E) | Combination FFP and T&E |
| 42 | | | Firm Fixed Price (FFP) | |
| 43 | | | Combination FFP and T&E | |
| 44 | 5.13 | What is the planned approach for procuring hardware and software for the project? | Timing of major hardware and software purchases has not yet been determined | Just-in-time purchasing of 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 | No |
| 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 and proof of concept or prototype planned/used to select best qualified vendor |
| 57 | | | Multi-stage evaluation not planned/used for procurement | |
| 58 | | | Multi-stage evaluation and proof of concept or prototype planned/used to select best qualified vendor | |
| 59 | 5.18 | For projects with total cost exceeding \$10 million, did/will the procurement strategy require a proof of concept or prototype as part of the bid response? | Procurement strategy has not been developed | Not applicable |
| 60 | | | No, bid response did/will not require proof of concept or prototype | |
| 61 | | | Yes, bid response did/will include proof of concept or prototype | |
| 62 | | | Not applicable | |
| 63 | | | | |
| 64 | | | | |
| 65 | | | | |
| 66 | | | | |

| | B | C | D | E |
|----|--|--|--|--|
| 1 | Agency: Department of Education | | Project: School Choice Conversion Project | |
| 3 | Section 6 -- Project Organization Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 6.01 | Is the project organization and governance structure clearly defined and documented within an approved project plan? | Yes | Yes |
| 6 | | | No | |
| 7 | 6.02 | Have all roles and responsibilities for the executive steering committee been clearly identified? | None or few have been defined and documented | Some have been defined and documented |
| 8 | | | Some have been defined and documented | |
| 9 | | | All or nearly all have been defined and documented | |
| 10 | 6.03 | Who is responsible for integrating project deliverables into the final solution? | Not yet determined | Agency |
| 11 | | | Agency | |
| 12 | | | System Integrator (contractor) | |
| 13 | 6.04 | How many project managers and project directors will be responsible for managing the project? | 3 or more | 2 |
| 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 | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented |
| 17 | | | Some or most staff roles and responsibilities and needed skills have been identified | |
| 18 | | | Staffing plan identifying all staff roles, responsibilities, and skill levels have been documented | |
| 19 | 6.06 | Is an experienced project manager dedicated fulltime to the project? | No experienced project manager assigned | Yes, experienced project manager dedicated full-time, 100% to project |
| 20 | | | No, project manager is assigned 50% or less to project | |
| 21 | | | No, project manager assigned more than half-time, but less than full-time to project | |
| 22 | | | Yes, experienced project manager dedicated full-time, 100% to project | |
| 23 | 6.07 | Are qualified project management team members dedicated full-time to the project | None | Yes, business, functional or technical experts dedicated full-time, 100% to project |
| 24 | | | No, business, functional or technical experts dedicated 50% or less to project | |
| 25 | | | No, business, functional or technical experts dedicated more than half-time but less than full-time to project | |
| 26 | | | Yes, business, functional or technical experts dedicated full-time, 100% to project | |
| 27 | 6.08 | Does the agency have the necessary knowledge, skills, and abilities to staff the project team with in-house resources? | Few or no staff from in-house resources | Few or no staff from in-house resources |
| 28 | | | Half of staff from in-house resources | |
| 29 | | | Mostly staffed from in-house resources | |
| 30 | | | Completely staffed from in-house resources | |
| 31 | 6.09 | Is agency IT personnel turnover expected to significantly impact this project? | Minimal or no impact | Moderate impact |
| 32 | | | Moderate impact | |
| 33 | | | Extensive impact | |
| 34 | 6.10 | Does the project governance structure establish a formal change review and control board to address proposed changes in project scope, schedule, or cost? | Yes | Yes |
| 35 | | | No | |
| 36 | 6.11 | Are all affected stakeholders represented by functional manager on the change review and control board? | No board has been established | Yes, all stakeholders are represented by functional manager |
| 37 | | | No, only IT staff are on change review and control board | |
| 38 | | | No, all stakeholders are not represented on the board | |
| 39 | | | Yes, all stakeholders are represented by functional manager | |

| | B | C | D | E |
|----|--------------------------------------|--|--|--|
| 1 | Agency: Department of Education | | Project: School Choice Conversion Project | |
| 3 | Section 7 -- Project Management Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 7.01 | Does the project management team use a standard commercially available project management methodology to plan, implement, and control the project? | No | Yes |
| 6 | | | Project Management team will use the methodology selected by the systems integrator | |
| 7 | | | Yes | |
| 8 | 7.02 | For how many projects has the agency successfully used the selected project management methodology? | None | More than 3 |
| 9 | | | 1-3 | |
| 10 | | | More than 3 | |
| 11 | 7.03 | How many members of the project team are proficient in the use of the selected project management methodology? | None | All or nearly all |
| 12 | | | Some | |
| 13 | | | All or nearly all | |
| 14 | 7.04 | Have all requirements specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 15 | | | 41 to 80% -- Some have been defined and documented | |
| 16 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 17 | 7.05 | Have all design specifications been unambiguously defined and documented? | 0% to 40% -- None or few have been defined and documented | 41 to 80% -- Some have been defined and documented |
| 18 | | | 41 to 80% -- Some have been defined and documented | |
| 19 | | | 81% to 100% -- All or nearly all have been defined and documented | |
| 20 | 7.06 | Are all requirements and design specifications traceable to specific business rules? | 0% to 40% -- None or few are traceable | 41 to 80% -- Some are traceable |
| 21 | | | 41 to 80% -- Some are traceable | |
| 22 | | | 81% to 100% -- All or nearly all requirements and specifications are traceable | |
| 23 | 7.07 | Have all project deliverables/services and acceptance criteria been clearly defined and documented? | None or few have been defined and documented | Some deliverables and acceptance criteria have been defined and documented |
| 24 | | | Some deliverables and acceptance criteria have been defined and documented | |
| 25 | | | All or nearly all deliverables and acceptance criteria have been defined and documented | |
| 26 | 7.08 | Is written approval required from executive sponsor, business stakeholders, and project manager for review and sign-off of major project deliverables? | No sign-off required | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables |
| 27 | | | Only project manager signs-off | |
| 28 | | | Review and sign-off from the executive sponsor, business stakeholder, and project manager are required on all major project deliverables | |
| 29 | 7.09 | Has the Work Breakdown Structure (WBS) been defined to the work package level for all project activities? | 0% to 40% -- None or few have been defined to the work package level | 41 to 80% -- Some have been defined to the work package level |
| 30 | | | 41 to 80% -- Some have been defined to the work package level | |
| 31 | | | 81% to 100% -- All or nearly all have been defined to the work package level | |
| 32 | 7.10 | Has a documented project schedule been approved for the entire project lifecycle? | Yes | No |
| 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 uses formal 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: Department of Education | | Project: School Choice Conversion Project | |
| 2 | | | | |
| 3 | Section 8 -- Project Complexity Area | | | |
| 4 | # | Criteria | Values | Answer |
| 5 | 8.01 | How complex is the proposed solution compared to the current agency systems? | Unknown at this time | More complex |
| 6 | | | More complex | |
| 7 | | | Similar complexity | |
| 8 | | | Less complex | |
| 9 | 8.02 | Are the business users or end users dispersed across multiple cities, counties, districts, or regions? | Single location | More than 3 sites |
| 10 | | | 3 sites or fewer | |
| 11 | | | More than 3 sites | |
| 12 | 8.03 | Are the project team members dispersed across multiple cities, counties, districts, or regions? | Single location | 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 | More than 4 |
| 23 | | | 2 to 4 | |
| 24 | | | 1 | |
| 25 | | | None | |
| 26 | 8.07 | What is the impact of the project on state operations? | Business process change in single division or bureau | 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 | |



School Choice Conversion Project

State of Florida

Office of Independent Education & Parental Choice
School Choice

Project Management Plan
Schedule IV-B Appendix D

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Revision History

| Date | Version | Revised By | Description |
|------------|---------|----------------------|--|
| 08/25/2017 | .1 | Cassandra J. Grayson | Revised to comply with Master Template |
| 08/30/2017 | .2 | Cassandra J. Grayson | Revised based on planning team edits |
| 09/01/2017 | .3 | Cassandra J. Grayson | Revised based on DTI team edits |
| 09/13/2017 | .4 | Cassandra J. Grayson | Revised based on DTI team edits |

Table of Contents

| | |
|---------------------------------------|----|
| 1. Introduction..... | 4 |
| 2. Project Charter | 5 |
| 2.1 Overview | 5 |
| 2.2 Project Charter..... | 5 |
| 3. Scope Management Plan..... | 6 |
| 3.1 Scope Management Plan | 6 |
| 4. Work Breakdown Structure | 7 |
| 5. Resource Breakdown Structure | 8 |
| 6. Master Project Schedule | 9 |
| 6. Schedule Management Plan..... | 10 |
| 7. Work Management Plan | 14 |
| 8. Spending Management Plan | 15 |
| 8.1 Spending Plan..... | 15 |
| 9. Communication Plan | 16 |
| 10. Risk Management Plan..... | 17 |
| 10.1 Risk Definition | 17 |
| 10.2 Risk Management Plan..... | 17 |
| 11. Issue Management Plan | 22 |
| 11.1 Issue Definition | 22 |
| 11.2 Issue Management Plan..... | 22 |
| 12. Quality Management Plan | 27 |
| 13. Change Management Plan..... | 30 |
| 14. Procurement Management Plan..... | 37 |

List of Tables

| | |
|--|----|
| Table 1: Summary Spending Plan..... | 15 |
| Table 2. Change Request Process Flow Steps | 31 |
| Table 3. School Choice Conversion Change Request Form sample | 32 |
| Table 4. RASCI Matrix..... | 34 |

1. Introduction

The Project Management Plan (PMP) provides the guidelines for managing the Florida Department of Education (FDOE), Office of Independent Education & Parental Choice, School Choice Conversion Project. It is a “living” document that contains the key project management plans. The document is due at initiation of the project, updated and delivered as needed over the duration of the project.

The Project Management Plan is organized into the following sections:

- Introduction
- Project Charter
- Scope Management Plan
- Work Breakdown Structure (WBS)
- Resource Breakdown Structure (RBS)
- Master Project Schedule
- Schedule Management Plan
- Work Management Plan
- Spending Plan
- Communication Plan
- Risk Management Plan
- Issue Management Plan
- Quality Management Plan
- Change Management Plan
- Procurement Management Plan

2. Project Charter

The Project Charter for the Florida Department of Education (FDOE), Office of Independent Education & Parental Choice, School Conversion Project formally: authorizes the project to exist and/or to continue; documents initial requirements that satisfy stakeholder needs; and, it recognizes the project manager role and gives the project manager the authority to "get the job done." This plan is effective at initiation of the project.

2.1 Overview

The Office of Independent Education & Parental Choice, School Conversion Project mission is to transition an Oracle/.asp (Active Server Pages) based database and user interface application from critical system failures and growing maintenance costs to a SQL/.net (Structured Query Language) solution aligned with the department's enterprise architecture. This transition requires developing, testing, documenting and implementing the new solution.

The mission of the Office of Independent Education & Parental Support, School Choice is to support quality public and private educational choice programs by providing information and assistance to promote successful outcomes for students, families, institutions and communities.

The School Choice Conversion Project will modernize its core technology systems that are currently on a 2003 server. In addition to investing in new hardware and software, School Choice will consider a cloud solution with anticipated cost savings during the procurement process.

2.2 Project Charter

The Project Charter is organized into the following sections:

- Introduction
- Business Need
- Strategic Goals
- Project Scope
- Budget Estimate and Summary Project Schedule
- Assumptions and Constraints
- Project Team and Stakeholders
- Critical Success Factors
- Project Approvals
- Appendix A

3. Scope Management Plan

The purpose of the Scope Management Plan is to provide the scope framework for the project. This plan documents the scope management approach; scope definition; scope statement; the project's work breakdown structure; roles and responsibilities as they pertain to project scope; scope verification; and, scope change control.

The Scope Management Plan is organized into the following sections:

- Introduction
- Project Overview
- Scope Management Approach
- Scope Definition
- Project Scope Statement
- Work Breakdown Structure
- Team Member Roles and Responsibilities
- Scope Verification
- Scope Control

3.1 Scope Management Plan

The scope for this project is defined by the Scope Statement and the Work Breakdown Structure (WBS). Scope management will be the sole responsibility of the Project Manager.

The Project Manager, Project Sponsor and Stakeholders will establish and approve documentation for measuring project scope which includes deliverable quality checklists and work performance measurements.

Proposed scope changes may be initiated by the Project Manager, Project Sponsor, Stakeholders or any member of the project team. All change requests will be submitted to the Project Manager who will then evaluate the requested scope change. Upon acceptance of the scope change request the Project Manager will submit the scope change request to the Project Sponsor and the Change Control Board for review and approval.

Upon approval of scope changes by the Change Control Board and Project Sponsor, the Project Manager will update all project documents and communicate the scope change to all stakeholders. Based on feedback and input from the Project Manager and Stakeholders, the Project Sponsor is responsible for the acceptance of the final project deliverables and project scope.

4. Work Breakdown Structure

The work required to complete this project will be subdivided into sub-deliverables, work packages, and activities. This will allow the Project Manager to more effectively manage the project's scope as the project team works on the tasks necessary for project completion.

The project will be organized in phases and coincides with the Project Management Institute, Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* standards for project management. The phases are: Initiation; Planning; Execution; Monitoring & Controlling; and, Closing. Each of these phases is then subdivided further down to work packages.

An Analysis of Alternatives (AoA): Design and Develop a new system internally, purchase a Commercial off the Shelf (COTS) solution, or procure a Managed Service/Cloud based solution will be done to determine which solution meets the requirements. The installation, deployment, acceptance testing, launch, and training will be provided by the Vendor. A WBS will be developed after the selected vendor provides the solution.

5. Resource Breakdown Structure

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a Resource Breakdown Structure (RBS) as a hierarchical list of resources related by function and resource type that is used to facilitate planning and controlling of project work.

The current Resource Breakdown Structure (RBS) for the project is as follows:

- Executive Sponsor - 1
- Project Sponsor – 1
- Project Manager – 1
- Technical Lead (Developer) – Pending procurement
- Systems or Enterprise Architect – Pending procurement
- Quality Assurance Analyst – (provided by School Choice)
- Business Analyst – 1
- Developers – Pending procurement
- DBA – 1 (assistance as needed)

6. Master Project Schedule

The Master Project Schedule describes all project activities that will occur for the duration of the project. The Project Management Office (PMO) at DOE requires all Projects to be maintained in the Department's project management SharePoint site, including a Microsoft Project® project plan. It is organized in accordance with the Project parent and child activities and lays out all key actions, start and end dates, milestones, and percentage complete for the overall project.

7. Schedule Management Plan

The purpose of the Schedule Management Plan is to define the approach the project team will use in creating the project schedule. This plan will also include how the team will monitor the project schedule and manage changes after the baseline schedule has been approved. This includes identifying, analyzing, documenting, prioritizing, approving or rejecting, and publishing all schedule-related changes.

The Schedule Management Plan will be organized into the following sections:

- Schedule Management Approach
- Work Breakdown Structure
- Schedule Control
- Schedule Changes
- Scope Changes

Schedule Management Approach

This section will provide a general framework for the approach which will be taken to create the project schedule. This includes the scheduling tool/format, schedule milestones, and schedule development roles and responsibilities.

Schedule Tool/Format

Project schedules will be created using Microsoft Project.

Activity definition will identify the specific work packages which must be performed to complete each deliverable. Activity sequencing will be used to determine the order of work packages and assign relationships between project activities. Activity duration estimating will be used to calculate the number of work periods required to complete work packages.

Resource estimating will be used to assign resources to work packages in order to complete schedule development.

Schedule Milestones

Once a preliminary schedule has been developed, it will be reviewed by the project team and any resources tentatively assigned to project tasks. The project team and resources must agree to the proposed work package assignments, durations, and schedule. Once this is achieved the Project Sponsor will review and approve the schedule and it will then be baselined.

The following will be designated as milestones for the project schedule:

- Completion of scope statement, Work Breakdown Structure (WBS) and Resource Breakdown Structure (RBS).

- Baseline project schedule.
- Approval of final project budget.
- Project kick-off.
- Approval of roles and responsibilities.
- Requirements definition approval.
- Completion of data mapping/inventory.
- Project implementation.
- Acceptance of final deliverables.

Project Manager Roles and Responsibilities

The Project Manager will take responsibility for overall project management and will work with the Project Sponsor to coordinate activities such as:

- Closely monitoring the deliverable status.
- Developing, maintaining, and meeting the approved project schedule.
- Presenting written status of the schedule, deliverables, issue resolution, risk mitigation, and action items.
- Notifying the Project Sponsor in writing of any potential delays or issues that may impact scope, cost, or schedule as soon as becoming aware of the problem.
- Tracking, analyzing, and resolving all material issues resulting from the delivery of the project solution.

Project Sponsor Roles and Responsibilities

The Project Sponsor will be responsible for the following:

- Serve as the primary point of contact for the Project Manager, confirm the project work plan and facilitate issue resolution.
- Provide kick-off meeting facility and identify and invite participants.
- Provide the team with working space facilities, including internet connectivity, access to required technology.
- Provide meeting rooms and equipment such as projectors as needed.
- Actively participate in all project working sessions and management meetings.
- Monitor and ensure resolution of all issues.
- Approve status reports and communications prior to distribution.
- Approve all deliverables.

Work Breakdown Structure

The Project Management Institute's *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* describes the Work Breakdown Structure (WBS) as "a deliverable-oriented hierarchical decomposition of the work to be executed by the team".

The WBS for the School Choice Conversion Project will be organized by phase as follows: Initiation; Planning; Execution; Monitoring & Controlling; and Closing.

Schedule Control

The project schedule will be reviewed and updated as necessary on a weekly basis with actual start, actual finish, and completion percentages which will be provided by task owners.

The Project Manager is responsible for holding weekly schedule updates/reviews; determining impacts of schedule variances; and, submitting schedule change requests.

The project team is responsible for participating in weekly schedule updates/reviews; communicating any changes to actual start/finish dates to the Project Manager; and participating in schedule variance resolution activities as needed.

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the Project Manager.

Reporting

The progress of, and changes to the project schedule, will be reported in accordance with the project's Communications Plan.

Schedule Changes

If any member of the project team determines that a change to the schedule is necessary, the Project Manager and team will meet to review and evaluate the change. The Project Manager and project team must determine which tasks will be impacted, variance as a result of the potential change, and any alternatives or variance resolution activities they may employ to see how they would affect the scope, schedule, and resources.

If, after this evaluation is complete, the Project Manager determines that any change will exceed the established boundary conditions, then a schedule change request must be submitted.

Submittal of a schedule change request to the Project Sponsor for approval is required if either of the two following conditions is true:

- The proposed change is estimated to reduce the duration of an individual work package by 10% or more, or increase the duration of an individual work package by 10% or more.
- The change is estimated to reduce the duration of the overall baseline schedule by 10% or more, or increase the duration of the overall baseline schedule by 10% or more.

- Any change requests that **do not meet** these thresholds may be submitted to the project manager for approval.

Change Control Process

After acceptance of the Project Schedule draft, proposed changes will be reported to the Project Sponsor in accordance with the project change management process in the project's Change Management Plan. Proposed changes will be justified, including impact on scope, cost, risks and quality.

Emergency schedule changes must be reported immediately to the Project Sponsor. Such changes may be implemented more quickly than provided for in the change management process or the weekly reporting process, but such changes will be subject to the same reporting and approval process "after the fact" as they would if the changes had processed normally.

The issues management and risk management processes will be used to initially identify issues or risks which may impact the schedule. Should the issue or risk be determined to require a change to the schedule, the change management process will be used to document the required change and obtain authorization to make such a change. Both the Project Sponsor and the Project Manager can request changes to the project schedule.

All change requests will be vetted through the change management process. The

Change Management process and will include an assessment of the impact of the proposed schedule changes on the project. Impacts to scope, cost, risk and quality will also be evaluated in order to provide a basis for accepting and approving a change.

Once the change request has been reviewed and approved the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the project team, Project Sponsor, and stakeholders. The Project Manager must also ensure that all change requests are archived in the project records repository.

Scope Changes

A scope change is defined as a change to the original boundaries of the project which changes the budget, schedule and/or contract requirements. Scope changes will be identified at the start of the change management process.

Approvals

Any changes in the project scope, which have been approved by the Project Sponsor, will require the project team to evaluate the effect of the scope change on the current schedule.

If the Project Manager determines that the scope change will significantly affect the current project schedule, he may request that the schedule be re-baselined in consideration of any changes which need to be made as part of the new project scope. The Project Sponsor must review and approve this request before the schedule can be re-baselined.

8. Work Management Plan

The purpose of the Work Management Plan is to define all project tasks and responsibilities, including technical tasks and management tasks, as well as projected and actual start and end dates for all project activities.

The original Work Management Plan was organized into the following sections and described a Modernization and Application Improvement project:

- Introduction
- Project Overview
- Approach and Methodology
- Management Procedures
- Implementation Tasks
- Operational Tasks
- Team Member Roles and Responsibilities
- Information Technology Policies

9. Spending Management Plan

This section presents the project spending plan and the high level project schedule for the School Choice Conversion Project.

9.1 Spending Plan

The School Choice Conversion Project to be funded for the 2018-19 fiscal year. The table below shows the cost of the project projected for 2018-19.

Table 1: Summary Spending Plan

| Project Cost Element | Appropriation Category | YR 1 LBR | TOTAL |
|--|------------------------|---------------------|---------------------|
| Project Management – PM @ \$125/hr BA @ \$86.71/hr | Contracted Services | \$ 328,000 | \$ 328,000 |
| Project Deliverables – Based on RFI. Full Procurement Needed. | Contracted Services | \$ 1,965,345 | \$ 1,754,100 |
| Data Center Services – One Time Costs | Data Center Category | \$ 128,500 | \$ 128,500 |
| Other Services – Unexpected Costs (@10%) | Contracted Services | \$ 334,978 | \$ 334,978 |
| Equipment | Expense | \$ 3,996 | \$ 3,996 |
| Leased Space, Prorates for Security, etc. | Expense | \$ 19,741 | \$ 19,741 |
| Other Expenses – Cost Recovery | Ed Tech | \$ 19,440 | \$ 19,440 |
| Total | | \$ 2,800,000 | \$ 2,588,755 |

10. Communication Plan

The Communication Plan describes the planned and periodic communications between the School Choice Conversion Project Team members and the DTI Maintenance Team, as well as project communication between the School Choice Conversion Project Team and various stakeholders, such as the project sponsors, control agencies, users, and support/service partners.

The Communication Plan is organized into the following sections:

- Introduction
- Roles and Responsibilities
- Communication Types
- Communication Management
- Appendix

The Communication Plan is filed for reference in the Project Documentation Folder.

11. Risk Management Plan

This section presents the Risk Management Plan for the School Choice Conversion Project. A Risk Management Plan provides a systematic process of identifying, analyzing, and responding to project risk throughout the life of the project.

10.1 Risk Definition

A risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on the project's objectives.

10.2 Risk Management Plan

The Risk Management Plan is organized into the following sections:

- Risk Management Strategy
- Risk Management Database
- Risk Breakdown Structure

Risks are reported separately in the SharePoint site.

Risk Management Strategy

This section describes the risk identification processes employed for this project, the risk assessment method, risk response options, and the risk management database development and maintenance.

Risk Identification Process

Risks are identified by analyzing each phase of the project and its deliverables using a Risk Breakdown Structure of risk types and sources. The Risk Breakdown Structure was adapted from the project management literature for the School Choice Conversion Project.¹ The risks will be described in terms of the cause(s), risk, and effect or impact.

The initial identification of risks was made by the School Choice Conversion Project Sponsor and the Project Manager. Subsequent input for identifying new risks will include the School Choice Project Team, subject matter experts and other stakeholders. All parties will assist in identifying risks on an ongoing basis.

Risk Assessment

Risks are assessed based on their probability of occurrence, project impact, and corresponding rank. The following tables show the values used for assigning probability, impact, and rank.

¹ David Hillson, *Managing Risks in Projects* (Surrey, England: Gower Publishing Ltd., 2009), 33.

| Risk Probability | | |
|------------------|-----------|----------------------|
| Low | < 30% | unlikely to occur |
| Medium | 31% - 50% | may occur |
| High | 51% - 80% | probably will occur |
| Very High | > 80% | very likely to occur |

| Risk Impact | | | |
|-------------|----------------------|---|--------------------------|
| | <u>Cost Increase</u> | <u>Scope Change</u> | <u>Schedule Increase</u> |
| Minor | < 5% | Barely | < 5% |
| Moderate | 5% - 8% | Minor areas of deliverable(s) | 5% - 10% |
| Serious | 9% - 10% | Major areas of deliverable(s) | 11% - 15% |
| Critical | > 10% | Failure to complete deliverable or failure to achieve project objective | >15% |

| Probability x Impact Rank | | | | |
|---------------------------|--------------|-----------------|----------------|-----------------|
| | <u>Minor</u> | <u>Moderate</u> | <u>Serious</u> | <u>Critical</u> |
| Low | Low(1) | Low(1) | Medium(2) | High(3) |
| Medium | Low(1) | Medium(2) | Medium(2) | High(3) |
| High | Low(1) | Medium(2) | High(3) | High(3) |
| Very High | Low(1) | High(3) | High(3) | Very High(4) |

Risk Response Options

Risk responses are planned using four basic risk response options:

- Accept – take the risk without special action or contingency because proactive action is either not possible or cost-effective.
- Avoid – take proactive action to eliminate the risk to the project.
- Mitigate – take proactive action to reduce the probability and/or impact of the risk.
- Transfer – involve another person or party in acting on the risk and in so doing share the management of the risk.

The initial risk responses will be planned by the School Choice Conversion Project Team and the Project Sponsor. Input from School Choice Conversion subject matter experts and the other stakeholders will be solicited.

The Project Sponsor will approve the risk responses, which will be assigned to risk owners who will be responsible for implementing proactive responses. All parties will assist in planning risk responses on an ongoing basis.

Risk Management Database Development and Maintenance

The risk descriptions, assessments, and responses are documented in the Risk Management Database, which is contained in the Project Workbook (see Section 3 for a sample). The risk response information includes the action to be taken by the risk owner, planned and actual completion dates, notes on the current status, and a closure date.

The initial development of the Risk Management Database will be completed by the School Choice Conversion Project Team. The Risk Management Database will be updated on an ongoing basis by the School Choice Conversion Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The School Choice Conversion Project Team will use the Risk Management Database as the system of record and store it in the School Choice Conversion SharePoint site. The Project Manager will add any new risks identified to the Weekly Status Report under Action Items. These items will be discussed with Project Sponsor and School Choice Conversion Project Team in the weekly status meeting. The School Choice Conversion Project Manager will validate the item and enter it as needed into the Risk Management Database in the Project Workbook, and update the Project Workbook and upload it to the School Choice Conversion Project SharePoint site.

The Project Sponsor will approve the initial version of the Risk Management Database, as well as any subsequent versions submitted with the Updated Project Management Documents at phase ends.

Risk Management Responsibilities

The responsibility for managing risk is shared between the School Choice Conversion Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the risk management process.

| Risk Activity | Responsibility |
|---------------------------------------|--|
| Identify risks | All – School Choice Conversion Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial identification was made by the Project Sponsor and Project Manager. |
| Assess risks | All – School Choice Conversion Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial assessment was made by the Project Sponsor and Project Manager. |
| Plan risk responses | All – School Choice Conversion Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial responses were planned by the Project Sponsor and Project Manager. |
| Approve risk responses | Project Sponsor |
| Develop Risk Management Database | Project Manager and School Choice Conversion Project Team |
| Maintain Risk Management Database | Project Manager |
| Develop or take risk response actions | Risk Owner |
| Manage risk responses | Project Manager, School Choice Conversion Project Team |
| Report risks | Project Manager, School Choice Conversion Project Team |

Risk Management Database

The DOE PMO requires that the Risk Management Database be maintained in SharePoint. It is reviewed and updated as necessary on a weekly basis.

Risk Breakdown Structure (RBS)

| RBS LEVEL 1 | RBS LEVEL 2 | |
|---------------------------|-------------|-------------------------------------|
| 1. Technical Risk | 1.1 | Scope Definition |
| | 1.2 | Requirements Definition |
| | 1.3 | Estimates, Assumptions, Constraints |
| | 1.4 | Technical Processes |
| | 1.5 | Technology |
| | 1.6 | Interfaces |
| | 1.7 | Design |
| | 1.8 | Performance |
| | 1.9 | Reliability & Maintainability |
| | 1.10 | ADA |
| | 1.11 | Security |
| | 1.12 | Test & Acceptance |
| 2. Management Risk | 2.1 | Project Management |
| | 2.2 | Program Management |
| | 2.3 | Operations Management |
| | 2.4 | Organization |
| | 2.5 | Resourcing |
| | 2.6 | Communication |
| | 2.7 | Information |
| | 2.8 | Health, Safety, & Environment |
| | 2.9 | Quality |
| | 2.10 | Reputation |
| 3. Business Risk | 3.1 | Contractual Terms & Conditions |
| | 3.2 | Internal Procurement |
| | 3.3 | Contractor |
| | 3.4 | Subcontracts |
| | 3.5 | Client/Customer Stability |
| | 3.6 | Stakeholders |
| 4. External Risk | 4.1 | Legislation |
| | 4.2 | Exchange Rates |
| | 4.3 | Site / Facilities |
| | 4.4 | Environment / Weather |
| | 4.5 | Competition |
| | 4.6 | Regulatory |
| | 4.7 | Political |
| | 4.8 | Country |
| | 4.9 | Social / Demographic |
| | 4.10 | Pressure Groups |
| | 4.11 | Force Majeure |

12. Issue Management Plan

This section presents the Issue Management plan for the School Choice Conversion Project. The Issue Management Plan describes how project issues will be managed, evaluated, escalated, and integrated into the project throughout the life of the project.

12.1 Issue Definition

An issue is a point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements. An issue is generally expressed as a statement of concern or as a need having one or some combination of the following characteristics:

- The resolution is in question or lacking agreement among stakeholders
- It is highly visible or involves external stakeholders such as requests or directives from control agencies
- It has critical deadlines or timeframes that cannot be missed
- It can result in an important decision or resolution for which the rationale and activities must be captured for historical purposes
- It has critical deadlines that may impede project progress.

Please note: An issue is a situation which has occurred or will definitely occur, as opposed to a risk which is a potential event. Items that are “normal” day-to-day tasks related to a person’s normal job duties are not considered issues or action items.

12.2 Issue Management Plan

The Issue Management Plan is organized into the following sections:

- Issue Management Strategy
- Issue Escalation

The DOE PMO requires that all issues be recorded in SharePoint and maintained there for history.

Issue Management Strategy

This section describes the issue identification processes employed for this project, the issue assessment process, issue management responsibilities, and the issue management database development and maintenance.

Issue Identification Process

Issues will be identified as any point or matter in question or in dispute, or a point or matter that is not settled and under discussion or over which there are opposing views or disagreements. By definition, an issue is a problem that will impede the progress of the project if it cannot be totally resolved by the project team. This will include issues that are software, data and/or hardware related.

The initial identification of issues will be made by the School Choice Conversion Project Sponsor and the Project Manager. Subsequent input for identifying new issues will include the School Choice Conversion Project Team, subject matter experts and other stakeholders. All parties will assist in identifying issues on an ongoing basis.

Issue Assessment Process

Issues will be managed through the following process:

- **Identification:** Issues (and action items) may arise from a variety of project activities; e.g., status meetings, deliverable reviews, code analyses, workgroup meetings, stakeholder requests, etc. Any project team member may identify an issue. Issues cited in meetings shall be documented in the meeting minutes. Issues cited through other project activities shall be reported to the School Choice Conversion Project Manager via e-mail. Prospective issues shall be entered by the School Choice Conversion Project Manager into the Issues Management Database.
- **Validation:** The prospective issue will be compared with the Issue Management Database to ensure that it does not duplicate an existing issue. If the prospective issue is not a duplicate, it will be reviewed with the validation criteria, which include: negative impact to scope, schedule, cost, or quality; negative impact to staff or infrastructure resources; negative impact to relationships with stakeholders; users; or, sponsors; missed commitment or due date. If the review with the validation criteria shows that the prospective issue is valid, it will be assigned to the appropriate project team member for analysis and handling. If the validation check shows that the prospective issue is not valid, it will be marked as Invalid and given a resolution date.
- **Assigning:** The project team member assigned to the issue will proceed to address the issue as needed analyzing it further to document impacts, following up as needed, and reporting a status in the weekly School Choice Conversion Project Status Meeting on Fridays.

Issue Management Database Development and Maintenance

The issue descriptions, status, and resolution are documented in SharePoint. The issue response information includes the action to be taken by the issue owner, planned and actual completion dates, notes on the current status, and a closure date. SharePoint will be updated weekly as needed by the School Choice Conversion Project Manager using the weekly project status meetings, status reports, and other relevant sources.

The School Choice Conversion Project Team will use SharePoint as the system of record. The Project Manager will add any new issues identified to SharePoint. These items will be discussed with Project Sponsor and School Choice Conversion Project Team in the weekly status meeting.

Issue Management Responsibilities

The responsibility for managing issues is shared between the School Choice Conversion Project Team, Project Sponsor, subject matter experts, and other stakeholders. The following table summarizes the responsibilities in the issue management process.

| Issue Activity | Responsibility |
|--|--|
| Identify issues | All – School Choice Conversion Project Team, Project Sponsor, subject matter experts, and other stakeholders. Initial identification will be made by the Project Sponsor and Project Manager. |
| Validate issues | All – School Choice Conversion Project Team, Project Sponsor, subject matter experts, and other stakeholders. |
| Assign issues | School Choice Conversion Project Manager, Project Sponsor, and Project Manager. |
| Approve issue responses | Project Sponsor. |
| Develop Issue Management Database | Project Manager and School Choice Conversion Project Team. |
| Maintain Issue Management Database | Project Manager. |
| Develop or take issue response actions | Issue Owner. |
| Manage issue responses | Project Manager, School Choice Conversion Project Team. |
| Report issues | Project Manager, School Choice Conversion Project Team. |

Issue Escalation

The project governance structure will be used to resolve potential conflicts and disputes that may arise during the project. It is also necessary to understand the different levels and types of issues that may arise during this project. If an issue results in a conflict and the School Choice Conversion Project Manager and the Issue Owner are unable to agree upon a decision, the issue shall be escalated in the following manner and order:

1. Issues should be addressed at the lowest level possible.
2. Attempts to resolve issues must be made by appropriate parties prior to escalation.
3. The issue owner, as identified by the issue tracker, completes the **Issue Submission Form** with a brief issue write-up identifying the issue, concerns, and positions of involved parties.
4. The issue owner schedules a meeting to discuss with involved parties.
5. The issue is ENTERED on the Issue Register for tracking.
6. The issue owner provides the issue write-up at least 24 hours prior to meeting.
7. The meeting is held and if resolution is reached, resolution decision and action items are documented and provided to involved parties.
8. If resolution is not reached, action items are identified and follow up meeting planned (this group has up to one week to resolve or notice of automatic escalation to next level of management is triggered).
9. Once escalation need is identified, notice is sent to the next levels of management including the Project Sponsor.
10. Issue review process repeats at the next level of management.

Issue Submission Form

The Issue Submission Form is use to create documentation of all issues in order to provide a traceable record and history for future reference.

Sample Issue Submission Form

A sample of the Issue Submission Form is shown below.

| ISSUE SUBMISSION FORM | | |
|--|---------------------------|-----------------------|
| Issue Number: | Reported By: | Date Reported: |
| Issue Status: | Issue Assigned To: | Date Resolved: |
| Description of Issue: | | |
| Project Impact: | | |
| Alternatives and Recommendation(s): | | |
| Final Resolution: | | |

13. Quality Management Plan

Introduction

The purpose of the Quality Management Plan is to describe how quality will be managed throughout the lifecycle of the School Choice Conversion Project. It documents the necessary information required to effectively manage project and includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. All Florida Department of Education (FDOE) stakeholders should be familiar with how quality will be planned, assured, and controlled.

The Quality Assurance Plan is being developed during the Project Planning and Definition Phase and is a supporting document to the Project Management Plan.

This document is organized into the following sections:

- Introduction
- Approach
- Quality Planning
- Quality Assurance
- Quality Control
- Quality Control Measurements
- Team Member Roles and Responsibilities
- Deliverables and Acceptance Criteria
- Appendices

Approach

This section describes the approach the School Choice Conversion Project Team will use for managing quality throughout the project's life cycle. Quality will be planned into the School Choice Conversion Project beginning in the first phase of the project in order to prevent unnecessary rework, waste, cost, and time overruns throughout the project. It will establish the activities, processes, and procedures for ensuring quality products throughout the project. This plan will:

- Ensure quality is planned
- Define how quality will be managed
- Define quality standards and quality assurance activities
- Define quality control activities
- Describe how quality will be measured

In order to be successful, this project will need to meet its quality objectives by using an integrated development and quality approach to define and perform testing during development activities.

Quality Management Approach Overview



Objective

The primary objective of this Quality Management Plan is to ensure that the project deliverables are completed with an acceptable level of quality. This plan discusses the quality standards by which the development of deliverables is managed to ensure:

- Consistency with the practices and standards of the FDOE Enterprise Project Management Methodology
- Ensure the quality of the system development process, project artifacts, and project products to School Choice and its stakeholder meet their requirements

Components of the Quality Management Plan

The following is a brief explanation of each of the components of the quality assurance plan and these must be performed to ensure that the deliverables meet the customer quality requirements

Quality Planning (QP)

Quality planning determines quality policies and procedures relevant to the project for both project deliverables and project processes, defines who is responsible for what, and documents compliance

Quality Assurance (QA)

Quality assurance activities focus on the processes being used to manage and deliver the solution and evaluate overall project performance on a regular basis. Quality assurance is a method to ensure the project will satisfy the quality standards and will define and record quality reviews, test performance, and customer acceptance. It includes process/protocols, forms, templates, best practices, guidance and training.

Quality Control (QC)

Quality Control is the process of Inspection. Quality control activities are performed on the project products continually to verify that project deliverables are of high quality and meet quality standards. Quality control also helps uncover causes of unsatisfactory results and establish lessons learned to avoid similar issues in this and other projects. It includes process reviews, document/quality reviews and various types of audits, adaptive process improvement and monitoring/reporting

Quality Control Measurements

A Quality Control Log will be used to track the status of deliverables that have been formally submitted to the client, and to ensure that, when a deliverable is either rejected or accepted conditionally, that the reasons the deliverable were not approved are captured and resolved.

14. Change Management Plan

The purpose of the Change Management Plan is to define the process for managing change document and document the necessary information required to effectively manage project change from project inception to delivery.

The Change Management Plan is created during the Planning Phase of the project. Its intended audience is the project manager, project team, project sponsor and any senior leaders whose support is needed to carry out the plan. The Change Management Plan is organized into the following sections:

- Introduction
- Change Management Process
- Change Request Form
- Evaluating Change Requests
- Authorizing Change Requests
- Team Member Roles and Responsibilities

Change Management Process

This section provides the Change Management process, which establishes an orderly and effective procedure for tracking the submission, coordinating, reviewing, evaluating, categorizing, and approving the release of all changes to the project's baselines.

Change Request Process Stages

- **Change Request Initiation:** Project change requests will be documented in writing and must identify cost, schedule, need for the requested changes, and be clearly labeled as a project change request. Scope changes must be also be clearly identified in the request. The Project Manager will assign a change request number.
- **Change Impact Estimation:** Each project change request must be reviewed by the Project Manager and Project Team to decide whether to proceed with the requested changes. An evaluation of the impact of project change requests to determine impact on scope, schedule, and cost and any other necessary details will be performed. For those change requests that impact scope, schedule, or cost, a written estimate based on this evaluation will be submitted.
- **Approvals and Acceptance:** The Project Sponsor may approve or decline the change request. Only those project change requests that have been approved in writing will be considered authorized changes to the project.

Change Request Process Flow Requirements

The change request (CR) process flow is outlined in the table below:

Table 2. Change Request Process Flow Steps

| Stage | Step | Description |
|--------------------------|---------------|---|
| Initiation | Generate CR | A submitter completes a CR Form and sends the completed form to the Project Manager |
| Initiation | Log CR Status | The Project Manager enters the CR into the CR Log. The CR's status is updated throughout the CR process as needed. |
| Impact Estimation | Evaluate CR | Project personnel review the CR and provide an estimated level of effort to process, and develop a proposed solution for the suggested change |
| Approval | Authorize | Approval to move forward with incorporating the suggested change into the project/product |
| Approval | Implement | If approved, make the necessary adjustments to carry out the requested change and communicate CR status to the submitter and other stakeholders |

Change Request Form

The Project Manager will submit a formal change request to the Change Management Board using the Change Request Form contained in **Appendix A – School Choice Conversion Change Request Form**.

A sample copy of the School Choice Conversion Change Request Form is provided in the table below:

Table 3. School Choice Conversion Change Request Form sample

School Choice Conversion Change Request Form:

| Change Request | |
|--|-------------------|
| Project: | Date: |
| Change Requestor: | Change No: |
| Change Category (Check all that apply): | |
| <input type="checkbox"/> Schedule <input type="checkbox"/> Cost <input type="checkbox"/> Scope <input type="checkbox"/> Requirements/Deliverables <input type="checkbox"/> Testing/Quality <input type="checkbox"/> Resources | |
| Does this Change Affect (Check all that apply): | |
| <input type="checkbox"/> Corrective Action <input type="checkbox"/> Preventative Action <input type="checkbox"/> Defect Repair <input type="checkbox"/> Updates <input type="checkbox"/> Other | |
| Describe the Change Being Requested: | |
| Describe the Reason for the Change: | |
| Describe all Alternatives Considered: | |
| Describe any Technical Changes Required to Implement this Change: | |
| Describe Risks to be Considered for this Change: | |
| Estimate Resources and Costs Needed to Implement this Change: | |
| Describe the Implications to Quality: | |
| Disposition: | |
| <input type="checkbox"/> Approve <input type="checkbox"/> Reject <input type="checkbox"/> Defer | |
| Justification of Approval, Rejection, or Deferral: | |

| Change Board Approval: | | |
|-------------------------------|-----------|------|
| Name | Signature | Date |
| | | |
| | | |

Evaluating Change Requests/Evaluation Process

The Change Request Evaluation Process involves the following steps:

The Project Manager will submit a formal change request to the Change Management Board using the School Choice Conversion Change Request Form included in Appendix A – School Choice Conversion Change Request Form. Any additional materials submitted with the change request will be noted as attachments.

The Project Manager will determine how much time it will take to analyze the change request.

The analysis will include the business benefit, implications of not making the change, impacts to the project (including budget, schedule, and/or contract requirements), as well as alternatives.

The change request will be reviewed by the Project Sponsor.

Authorizing Change Requests/Change Management Board

The Change Management Board (CMB) is comprised of the following members: Project Sponsor, Executive Sponsor, Chancellor of Public Schools, Maintenance Manager, QA, and Technical Lead.

The Change Management Board responsibilities and authority are as follows:

- Approve change requests
- Monitor system configuration control
- Approve contract negotiations / changes

The Change Management Board (CMB) will meet as necessary to review change requests.

Authorization Process

The Change Request Authorization Process involves the following steps:

The Project Manager will present the analysis to the CMB for their guidance and direction. All project change requests impacting cost, schedule or scope must be referred to the CMB for approval.

a. If the CMB decides to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. Based on the resolution or recommended course of action, the Project Manager will make any required adjustments to the budget, schedule, and/or contract.

b. If the CMB not to proceed with the change or an alternative, then the Project Sponsor will inform the Project Manager in writing. The CMB can close a change request, but suggest that it be reviewed later.

The Project Manager will include a review of open change requests at the Weekly Project Status Review.

Team Member Roles and Responsibilities

The Project Management Institute’s *A Guide to the Project Management Body of Knowledge (PMBOK® Guide) – Fourth Edition* defines a responsibility assignment matrix (RAM), also known as RACI or RASCI matrix, as a tool that describes the various roles of project team members in completing tasks or deliverables for a project or business process. The following table identifies the roles and responsibilities, to be performed by onsite staff, associated with the listed tasks/activities.

Table 4. RASCI Matrix

| | | | | | | | | | | | |
|---|------------------------|--|--|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|
| ROLE Definitions | | | | | | | | | | | |
| R Responsible The person who will perform the task. | | | | | | | | | | | |
| A Accountable The person who is ultimately accountable. | | | | | | | | | | | |
| S Support The person(s) who will assist the Responsible in completing the task. | | | | | | | | | | | |
| C Consulted The person(s) whose opinions are sought for the task. | | | | | | | | | | | |
| I Informed The person(s) who are kept up-to-date on task status. | | | | | | | | | | | |
| | Project Manager | | | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |

| TASKS/ACTIVITIES | | | | | | | | | | | |
|---|------------------------|-----|------------------------|--------------------------------|------------------------------|---------------------------|----------------------|----------------------------|-------------------------|---------------------------------|-------------------------|
| Initiation Tasks | | | | | | | | | | | |
| 1. Generate Change Request. | R,A | S,C | I | I | C | C | C | C | C | C | C |
| 2. Log Change Request Status. | R,A | I | I | I | I | I | I | I | I | I | I |
| | | | | | | | | | | | |
| <i>Table 2. RASCI Matrix</i> | | | | | | | | | | | |
| ROLE Definitions | Project Manager | | Project Sponsor | Project Oversight Group | Business Analyst Team | Solution Architect | Database Team | Technical Team Lead | Development Team | Maintenance Team Manager | Maintenance Team |
| R Responsible The person who will perform the task. | | | | | | | | | | | |
| A Accountable The person who is ultimately accountable. | | | | | | | | | | | |
| S Support The person(s) who will assist the Responsible in completing the task. | | | | | | | | | | | |
| C Consulted The person(s) whose opinions are sought for the task. | | | | | | | | | | | |
| I Informed The person(s) who are kept up-to-date on task status. | | | | | | | | | | | |

| TASKS/ACTIVITIES | | | | | | | | | | | |
|------------------------------|-----|-----------|---|-----|---|---|---|---|---|---|---|
| Impact Estimate Tasks | | | | | | | | | | | |
| 5. Evaluate Change Request. | C | C,R, A | I | I | C | C | C | C | C | C | C |
| Approval Tasks | | | | | | | | | | | |
| 6. Authorize Change Request. | I | I | I | A,R | I | I | I | I | I | I | I |
| 7. Implement Change Request. | A,R | C | I | I | I | I | I | I | I | I | I |
| | | | | | | | | | | | |

15. Procurement Management Plan

The purpose of the Procurement Management Plan is to define the procurement requirements for the project and how it will be managed from developing procurement documentation through contract closure and identify the items to be procured, the types of contracts to be used in support of this project, the contract approval process, and decision criteria.

The Procurement Management Plan is organized into the following sections:

- Introduction
- General Procurement Approach
- Procurement Definition
- Staff Augmentation Procedures
- Hardware/Software Purchasing
- Northwest Regional Data Center (NWRDC) Services Request Procedures or Cloud Solution Procedures
- Procurement Risks
- Procurement Risk Management
- Cost Determination
- Procurement Constraints
- Contract Manager
- Vendor Management

Introduction

The Florida Department of Management Services' Division of State Purchasing (State Purchasing) has created a *Guidebook to Public Procurement* to provide direction in the purchase of commodities and contractual services pursuant to Section 287.057, Florida Statutes. The Florida Department of Management Services' created the guidebook by integrating Florida Statutes and Rules that govern Public Procurement with best practices in procurement from across the state.

The Department of Management Services' revises the *Guidebook to Public Procurement* each year to reflect the most current procurement practices. All Project Purchases and Contracts must adhere to these Guidelines.

The Project Sponsor will provide oversight and management for all procurement activities under this project. The Project Manager will work with the project team to identify and procure all

School Choice Conversion

items needed for the successful completion of the project, and will coordinate with the Purchasing and Contracting Division to draft and assemble all relevant forms and paperwork for Project Sponsor review, approval, and submission. The contracts and purchasing division will review the procurement and coordinate follow-up activities with the Project Sponsor and Project Manager to process the procurement to award.

General Procurement Approach

For general procurement of contract staff support, goods, and services which are readily available via State approved Vendors a Request for Quote (RFQ) is preferred. For more complex procurements of non-standard goods and services, an Invitation for Negotiation (ITN) is usually recommended, especially if detailed discussions need to be held to define the final deliverable and pricing. The Purchasing and Contracting Division have all the forms for processing either of these approaches and acts in a consultative manner to ensure that the best course of action based on requirements.

Procurement Definition

The purpose of procurement definition is to describe, in specific terms, what items will be procured and under what conditions. Additionally, project schedules usually affect procurement deadlines and are needed by certain times to ensure timely project completion. It is critically important that sufficient time is spent in defining the requirement such that all business needs are identified and specific deliverables defined that will meet those needs. The Business Analysts on the project usually performs this task.

Staff Augmentation Procedures

One of the most common procurements made by the Project is procurement of Staff required to execute the Project Plan.

Staff augmentation of information technology contractors will be effected by using State term contracts. State term contracts are written between the Department of Management Services and the specified contractor(s) and contain language that allows state agencies and other eligible users to purchase the defined commodities and contractual services according to pre-negotiated terms.

In the event where a State Term Contract has more than one contractor, an agency may issue a Request for Quotes (RFQ) to the State Term Contract contractors offering the commodities or contractual services to either seek additional competition or to determine whether a price term or condition more favorable to the agency is available. § 287.056(2), Florida Statutes, and Rule 60A-1.043(2), Florida Administrative Code.

An RFQ is “an oral or written request for written pricing or services information from a State Term Contract vendor for commodities or contractual services available on a State Term Contract from that vendor.” § 287.012(23), Florida Statutes.

If the agency has received quotes from multiple vendors, the agency shall document that it based its decision upon best value. If the agency requested less than two quotes, the agency shall document its justification for that decision. Rule 60A-1.043(3), Florida Administrative Code.

Contracts and Purchasing will notify the Project Sponsor of personnel offered from Staffing Vendors in response to an RFQ for a particular Position Description (PD). The Project Sponsor will set up interviews with a designated interview team based on the PD who will screen the candidates. The result of these interviews will be identification in rank order of the top candidates so that a selection and offer can be made.

Hardware/Software Purchasing

If the project requires any hardware or software items contact should at first be made with the School Choice Operations Supervisor who will check to see if the item is already available within School Choice. If not, then the specifications for the requirements should be provided to the School Choice Bureau Chief Staff Assistant so that it can be entered into the *MyFloridaMarketPlace eQuote* system for purposes of requesting quotes.

Northwest Regional Data Center (NWRDC) Services Request Procedures

Requests for NWRDC services must be submitted to Office of Technology & Information Services (OTIS) technical liaison.

Procurement Risks

All procurement activities carry some potential for risk which must be managed to ensure project success. All risks will be managed in accordance with the project's Risk Management Plan; there are specific risks which pertain specifically to procurement which must be considered:

- Unrealistic schedule and cost expectations for vendors
- Manufacturing capacity capabilities of vendors
- Conflicts with current contracts and vendor relationships
- Configuration management for upgrades and improvements of purchased technology
- Potential delays in shipping and impacts on cost and schedule
- Questionable past performance for vendors
- Potential that final product does not meet required specifications

These risks are not all-inclusive and the standard risk management process of identifying, documenting, analyzing, mitigating, and managing risks will be used.

Project Risk Management

Project risks will be managed in accordance with the project's Risk Management Plan. However, for risks related specifically to procurement, there must be additional consideration and involvement. Project procurement efforts involve external organizations and potentially affect current and future business relationships as well as internal supply chain and vendor management operations. Because of the sensitivity of these relationships and operations the Project Manager will include a designated representative from the contracting department in all project meetings and status reviews if feasible.

Additionally, any decisions regarding procurement actions must be approved by the Project Sponsor or, in his absence, the Executive Project Sponsor before implementation. Any issues concerning procurement actions or any newly identified risks will immediately be communicated to the project's contracting department point of contact as well as the Project Sponsor.

Cost Determination

For procurements seeking goods and/or services from an outside vendor, costs are usually provided in response to a Request for Quote (RFQ), Request for Proposal (RFP) or a Request for Bid (RFB). Vendors submit quotes, proposals, or bids which describe the costs of the good or service in detail to aid the customer in their decision making. Costs are almost always used as part of the procurement decision criteria but may be prioritized differently depending on the organization.

Procurement Constraints

There are several constraints that must be considered as part of the project's procurement management plan. These constraints will be included in the RFQ and communicated to all vendors in order to determine their ability to operate within these constraints. These constraints apply to several areas which include schedule, cost, scope, resources, and technology:

- **Schedule:** Project schedule is not flexible and the procurement activities, contract administration, and contract fulfillment must be completed within the established project schedule.
- **Cost:** Project budget has contingency and management reserves built in; however, these reserves may not be applied to procurement activities. Reserves are only to be used in the event of an approved change in project scope or at management's discretion.
- **Scope:** All procurement activities and contract awards must support the approved project scope statement. Any procurement activities or contract awards which specify work which is not in direct support of the project's scope statement will be considered out of scope and disapproved.

- **Resources:** All procurement activities must be performed and managed with current personnel. No additional personnel will be hired or re-allocated to support the procurement activities on this project.
- **Technology:** Parts specifications have already been determined and will be included in the statement of work as part of the RFQ. While proposals may include suggested alternative material or manufacturing processes, parts specifications must match those provided in the statement of work exactly.

Contracts Manager

The Project Sponsor acts as the Contracts Manager for the Project.

The Contract Manager tasks are identified below:

1. Procurement Tool completed and approved by Technical Contact (this includes vendor list and evaluation team).
2. Technical Contact requests the creation and approval of a Purchase Requisition via the Contract Manager.
 - a. Contract Manager verifies with the Technical Contact any missing information
 - b. Contract Manager creates the Requisition in *MyFloridaMarketPlace* (MFMP) and it is routed through the approval process. Technical Contact is given the Purchase Order (PO) Number once it is assigned in the system.
3. Once the requisition is approved, the Contract Manager will send confirmation to the Technical Contact stating that the requisition is fully approved and has been assigned a Purchase Order (PO) number.
4. Technical Contact determines the start date and hardware and software needs and finds office space for contractor to work on assigned tasks.
5. Contract Manager creates the contract folder and files the following documents:
 - a. Contract cover sheet
 - b. Purchase Order
 - c. Contract management check list
 - d. RFQ or SOW
 - e. Resume
 - f. Disclosure statement
 - g. Drug-free work place form
 - h. References
 - i. Skills matrix
 - j. Vendor response

The Contract Manager provides HR Liaison with Purchase Order Number, DBS, Grant and EO information that will be needed to be entered into the Contractor Tracking System (CTS) when contract staff is processed in.

Vendor Management

The Project Manager is ultimately responsible for managing vendors. In order to ensure the timely delivery and high quality of products from vendors the Project Manager, or his/her designee will meet weekly when needed with the contract and purchasing department and each vendor to discuss the progress for each procured item. The meetings can be in person or by teleconference.

The purpose of these meetings will be to review all documented specifications for each product. This forum will provide an opportunity to review each item's development or the service provided in order to ensure it complies with the requirements established in the project specifications. It also serves as an opportunity to ask questions or modify contracts or requirements ahead of time in order to prevent delays in delivery and schedule. The Project Manager will be responsible for scheduling this meeting on a weekly basis until all items are delivered and are determined to be acceptable.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2018-19

Department: Office of the Inspector General

Chief Internal Auditor: Tiffany Hurst

Budget Entity: State Board of Education

Phone Number: 850-245-9422

| (1) REPORT NUMBER | (2) PERIOD ENDING | (3) UNIT/AREA | (4) SUMMARY OF FINDINGS AND RECOMMENDATIONS | (5) SUMMARY OF CORRECTIVE ACTION TAKEN | (6) ISSUE CODE |
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| Office of the Inspector General 18 -Month Status Report # F-1617-032 on Report # A-1415-019 | 7/12/2017 | Department of Education (DOE) School Transportation | <p>Finding 1. The department does not have formal written policies and procedures. Recommendation: We recommend School Transportation develop formal written procedures to ensure consistency and quality performance in School Transportation processes.</p> <p>Finding 2. Uncertified bus inspectors may be inspecting school buses. Recommendation: We recommend School Transportation enhance its procedures to ensure school districts comply with Florida Administrative Code and the Florida School Bus Safety Inspection Manual, thereby increasing the assurance that students will be safely transported.</p> | <p>Management response June 28, 2017: Completed 6/30/2016</p> <p>Management response 6/28/2017: The School Bus Inspector Manual is incorporated by reference in rule 6A-3.0171, Florida Administrative Code, which was approved by the SBOE at the March 22, 2017 meeting. Complete</p> | |

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| Office of the Inspector General Report # A-1516-024 | 8/31/2017 | Department of Education (DOE) Office of Application Development and Support (OADS) within the Division of Technology and Innovation | Finding 1. The department lacks an overall IT governance framework. Recommendation: We recommend that the department approve and implement a project management governance plan. We recommend the approved plan establish a project governance structure, including a project steering committee, to enable department senior management to approve and monitor IT development projects, set priorities for IT projects, and participate in strategic IT decisions in a controlled and consistent manner. | Management Response: FDOE-IT concur with the development of IT Governance. Therefore, we will work with the business units and the Data Governance Council to establish a project management plan for review and approval by leadership. |
| Office of the Inspector General Report # A-1516-024 | 8/31/2017 | Department of Education (DOE) Office of Application Development and Support (OADS) within the Division of Technology and Innovation | Finding 2. The department does not have enterprise Application Development policies. Recommendation: We recommend the department develop and implement application development policies. These policies should include, but not be limited to: *A requirement that the department's ISDM and Project Management Standard be followed for new application development projects and major modifications to existing applications; *Definitions for projects, application modifications, and maintenance tasks, including criteria for differentiating major application modifications from routine application maintenance tasks (ex: risks, hours, complexity); | Management response: FDOE-IT will work to update the ISDM and create a policy that requires all IT staff to follow the methodologies; FDOE-IT will create project definitions vs maintenance task; FDOE-IT will develop guidelines that identify which projects will require governance process; FDOE-IT will establish an internal policy governing the imitation of new projects and application modifications and the use of ADR forms; FDOE-IT will develop specific guidelines for applying cost estimates; and |

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| <p>Office of the Inspector General Report # A-1516-024</p> | <p>8/31/2017</p> | <p>Department of Education (DOE) Office of Application Development and Support (OADS) within the Division of Technology and Innovation</p> | <p>*Direction for establishing which projects must of through the governance process; *A requirement that all new projects or major application modifications be assigned an applications development manager who has knowledge over the subject matter; *A requirement that an ADR form be used to initiate new projects or application modifications; and *Cost estimation guidelines.</p> <p>Finding 3. The department did not follow the Project Management Security Standard. Recommendation: We recommend the department update the Project Management Standard to include the Security Planning Requirement related to the Florida Cyber Security Standard and ensure the system security plan is documented for all applicable projects. We further recommend the department update the minimum-security standard to reflect the current F.A.C. Rule 74-2.</p> <p>Finding 4. Application Development Cost Estimates are not reliable. Recommendation: We recommend OADS establish documented policies for conducting cost estimates. These policies should include, but not be limited to:</p> <ul style="list-style-type: none"> • Conducting detailed research with the business owner prior to estimating the costs of projects, applications, and maintenance activities; • Having a knowledgeable BA participate in all cost estimates and document justifications for deviations from the estimates; • Conducting periodic budget to actual comparisons to evaluate the accuracy of the cost estimates; | <p>FDOE-IT will work to update the ISDM and create a policy that requires all IT staff to follow the same methodologies.</p> <p>Management response: FDOE-IT will resubmit the Enterprise Governance Plan to leadership for approval ensuring that it includes the Security Planning Requirements related tot the Florida Cyber Security Standard and ensure the system security plan is documented for all applicable projects and meets minimum security standard.</p> <p>Management response: FDOE-IT will develop specific guidelines for applying cost estimates. The guidelines will incorporate conducting detail research with business owners, periodic budget comparisons, and other reviews including requirements for BA participation in cost estimated and documentation.</p> |
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| Office of the Inspector General Report # A-1617-028 | 1/31/2018 | Department of Education (DOE) Office of Education Information and Accountability Services (EIAS) Student Data Office of the Inspector General (OIG) | <ul style="list-style-type: none"> • Reviewing the cost estimates at the end of each project to evaluate the accuracy of the estimate and determine if adjustments to the methodology are warranted; • Considering whether cost and hour estimates were met when evaluating project team members; and • Completing end of fiscal year actual cost calculations to enable more reliable future projections. <p>Finding 1. EIAS doe not have internal controls to view user or system activity. Recommendation: We recommend EIAS develop and implement user access controls for tracking user activity. These policies should include, but not be limited to, establishing and documenting policies for logging of audit records. The logs should support the unique identification of individuals and permit an audit of the logs to trace activities through the system, including the capability to determine the exact confidential or exempt data accessed, acquired, viewed, or transmitted by the individual.</p> | Management response: In 2010, the department started the process of migrating student data collection and processing processes off of the mainframe with the acquisition of SLDS grant. A key goal of SDLA grant was to utilize more current processing methodologies and technical approaches for the; source data systems so they can remain compatible with EDW. With this in mind, the department has built a Data Quality preflight system to allow districts to submit and process their student data within an auditable and secured server environment. |
| Office of the Inspector General Report # A-1617-028 | 1/31/2018 | Department of Education (DOE) Office of Education Information and Accountability Services (EIAS) Student Data Office of the Inspector General (OIG) | <p>Finding 2. EIAS does not have documented policies and procedures for overriding system edits when processing additional or corrective files after the end of a survey period. Recommendation: We recommend EIAS establish documented policies and procedures for overriding system edits when processing additional or corrective files after the end of a survey period.</p> | Management response: EIAS will develop policies and procedures for overriding systems edits. |

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| <p>Office of the Inspector General 6-Months Status Report # F-1819-001 on Report # A-1516-024</p> | <p>2/16/2018</p> | <p>Department of Education (DOE) Office of Application Development and Support (OADS Division of Technology and Innovation.</p> | <p>Finding 3. DTI does not have an established Disaster Recovery Plan to restore time sensitive data. Recommendation: We recommend DTI establish a documented Disaster Recovery Plan to ensure data restoration in a timely manner in the event of a disaster, faulty equipment, etc. These plans should include, but not be limited to, identifying the mission critical IT systems requiring priority DR services, developing a documented and tested DR plan, and identifying recovery steps to perform once customer systems are operational.</p> <p>Finding 1. The department lacks an overall IT governance framework. Recommendation(s): We recommend that the department approve and implement a project management governance plan. We recommend the approved plan establish a project governance structure, including a project steering committee, to enable department senior management to approve and monitor IT development projects, set priorities for IT projects, and participate in strategic IT decisions in a controlled and consistent manner.</p> <p>Finding 2. The department does not have enterprise Application Development policies. Recommendation(s): We recommend the department develop and implement application development policies. These policies should include, but not be limited to:</p> | <p>Management response: In the 2014 legislative session, the department was directed to contract with an independent third party consulting firm to complete a study of the department's current disaster recovery plan for its applications and systems supported by NWRDC. This study was completed by statutory due date of October 2016. The funds for implementing a disaster recovery plan were released on July 1, 2017 and the department started implementing the disaster recovery plan.</p> <p>Management response 2/16/2018: A draft Project Governance Plan has been developed and is under review. A copy of this document is attached: See Attachment A.</p> <p>Management response 2/16/2018: A draft policy and ISDMs for both project and O&M activities have been developed and are routing for review /approval. Copies of the documents are attached. Attachment E, F, G</p> |
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| <p>Office of the Inspector General 6-Months Status Report # F-1819-001 on Report # A-1516-024</p> | <p>2/16/2018</p> | <p>Department of Education (DOE) Office of Application Development and Support (OADS) Division of Technology and Innovation.</p> | <p>*A requirement that the department's ISDM and Project Management Standard be followed for new application development projects and major modifications to existing applications;*Definitions for projects, application modifications, and maintenance tasks, including criteria for differentiating major application modifications from routine application maintenance tasks (ex: risk, hours, complexity);*Direction for establishing which projects must go through the governance process;</p> <p>*A requirement that all new projects or major application modifications be assigned an applications development manager who has knowledge over the subject matter;</p> <p>*A requirement that an ADR form be used to initiate new projects or application modifications; and</p> <p>* Cost estimation guidelines.</p> <p>* We further recommend OADS consult with the other divisions and offices to update the current SDLC methodology and implement it department wide.</p> <p>The revised SDLC should consider the various approaches to system implementation (build from scratch, purchase commercial software</p> | <p>A draft Project Management Policy has been developed and is under review. A copy of this document is attached. See Attachment B</p> <p>The following draft documents have been developed and are under review: Project Governance Plan, Project Management Standard and Project Management Standard-Contractor-Managed.</p> <p>Copies of these documents are attached. See Attachments A,C,&D</p> <p>Initial meetings have begun on development of this policy/procedure. The ADR form has been developed, and initial meetings have begun on the development of this policy.</p> <p>A copy of this document is attached. Attachment Ia & Ib</p> <p>DTI has created Service Level Agreements for each division to outline planned work at the beginning of the fiscal year.</p> |
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Finding 3. The department did not follow the Project Management Security Standard.
Recommendation: We recommend the department update the Project Management Standard to include the Security Planning Requirement related to the Florida Cyber Security Standard and ensure the system security plan is documented for all applicable projects. We further recommend the department update the minimum-security standard to reflect the current F.A.C. Rule 74-2.

Management response 2/16/2018: A draft Project Management Policy, Project Management Standard, and Project Management Standard-Contractor-Managed has been developed and is under review. A copy of this document is attached: See Attachment B, C, D
The existing Minimum Standards document will be updated to reflect F.A.C. Rule 74-2. DTI has created Service Level Agreements for each division to outline planned work at the beginning of the Fiscal Year. A copy of this document is attached.
Attachment J

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| <p>Office of the Inspector General Six-Months Status Report # F-1819-001 on Report # A-1516-024</p> | <p>2/16/2018</p> | <p>Department of Education (DOE) Office of Application Development and Support (OADS) Division of Technology and Innovation.</p> | <p>Finding 4. Application Development Cost Estimates are not reliable. Recommendation: We recommend OADS establish documented policies for conducting cost estimates. These policies should include, but not be limited to:</p> <ul style="list-style-type: none"> • Conducting detailed research with the business owner prior to estimating the costs of projects, applications, and maintenance activities; • Having a knowledgeable BA participate in all cost estimates and document justifications for deviations from the estimates; • Conducting periodic budget to actual comparisons to evaluate the accuracy of the cost estimates; • Reviewing the cost estimates at the end of each project to evaluate the accuracy of the estimate and determine if adjustments to the methodology are warranted; • Considering whether cost and hour estimates were met when evaluating project team members; and • Completing end of fiscal year actual cost calculations to enable more reliable future projections. | <p>Management response 2/16/2018: DTI has created Service Level Agreements for each division to outline planned work at the beginning of the Fiscal Year. A copy of this document is attached. Attachment J DTI conducts a true-up mid year and end of year to evaluate the accuracy. Procedures are being drafted for this.</p> |
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Office of Policy and Budget - July 2018

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service): Education/State Board of Education

Agency Budget Officer/OPB Analyst Name: Alicia Bevis

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.

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| | Program or Service (Budget Entity Codes) |
| Action | 48800000 |

1. GENERAL

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|---|---|--|--|--|--|
| 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 | | | | |
| 1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDC) | Y | | | | |

AUDITS:

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| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |

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)

| | | | | | |
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| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

3. EXHIBIT B (EXBR, EXB)

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| 3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? Were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits. | Y,Y | | | | |
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AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48800000 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48800000 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.3 | Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions? | Y | | | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y,Y | | | | |
| 7.5 | Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.6 of the LBR Instructions.) | Y Y | | | | |
| 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 | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48800000 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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)? | Y | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48800000 | | | | |
| 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | Y, for 2176 and 2380 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------|--|--|--|--|--|--|
| Action | | 48800000 | | | | |
| 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 for 2176 only | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y for 2178, 2543, 2555 and 2612 | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | 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 | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y for 2176 only | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y, FSDB only | | | | |
| 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48800000 | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | Y | | | | |
| TIP | If IT issues are not coded (with "C" in 6th position or within a program component of 1603000000), they will not appear in the Schedule IV. | | | | | |
| 12. SCHEDULE VIIIA (EADR, SC8A) | | | | | | |
| 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 | | | | |

| | | | | | | |
|--|---|------------|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | | |
| Action | | 48800000 | | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 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.) | N/A | | | | |
| 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) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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.) | | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|--|--|--|--|
| Action | | 48800000 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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? | Y,Y | | | | |
| 17.5 | Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ? | Y | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | Section 1013.60 F.S., outlines the department's responsibility for the legislative capital outlay budget request. The "Notwithstanding the provisions of s.216.043, the integrated, comprehensive budget request shall include:" is interpreted to mean "in lieu of" the CIP requirements. | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | | | | | |
| 18.6 | Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document? | | | | | |
| TIP Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification. | | | | | | |
| 19. FLORIDA FISCAL PORTAL | | | | | | |

| | | | | | |
|--|--|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | | |
| Action | 48800000 | | | | |
| 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 | | | | |



STATE
UNIVERSITY
SYSTEM
of FLORIDA
Board of Governors

Office of the Chancellor
325 West Gaines Street, Suite 1614
Tallahassee, FL 32399
Phone 850.245.0466
Fax 850.245.9685
www.flbog.edu

LEGISLATIVE BUDGET REQUEST

October 15, 2018

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

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

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

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the State University System of Florida and the Board of Governors is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2019-2020 Fiscal Year. This submission has been approved by the Board of Governors on September 13, 2018.

Sincerely,

A handwritten signature in blue ink that reads "Tim Jones".

Tim Jones
Chief Financial Officer
State University System of Florida

TJ/db

Enclosure

State of Florida
Department of Education
State Universities
Education and General



2019-20
Exhibits and 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: | State University System of Florida, Board of Governors | | |
| Contact Person: | Vikki Shirley | Phone Number: | 850-245-0430 |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | <p><i>Alexis S. Geffin and Ryan J. Geffin, individually and on behalf of a proposed Student Class v. Governor Rick Scott; Florida State Board of Education; Board of Governors of the State University System, Florida Department of Education, Pam Stewart, Florida Commissioner of Education, and Jimmy Patronis, Chief Financial Officer of Florida; and Thomas A. Warren, Kathleen Villacorta, and the Symphonic and of the Palm Beaches, Inc., individually and on behalf of a proposed Donor Class v. Governor Rick Scott; Florida State Board of Education; Board of Governors of the State University System, Florida Department of Education, Pam Stewart, Florida Commissioner of Education, and Jimmy Patronis, Chief Financial Officer of Florida. THESE TWO CASES HAVE BEEN CONSOLIDATED.</i></p> | | |
| Court with Jurisdiction: | Second Judicial Circuit in and for Leon County, Florida | | |
| Case Number: | 2017-CA-1364 & 2017-CA-1526 | | |
| Summary of the Complaint: | <p>These consolidated cases are brought by two alumni of the University of Florida and three donors of scholarship and student research funds at The Florida State University and Palm Beach State College, on behalf of two classes of individuals. In <i>Warren</i>, Plaintiffs propose a class consisting of all persons or entities that donated money eligible for state matching funds to Florida’s public colleges or universities or their foundations from July 1, 2007 to the present. In <i>Geffin</i>, Plaintiffs propose a class consisting of all former, current, and future students who matriculated or will matriculate at any of Florida’s public colleges, community colleges, and universities, while either the students or their colleges, community colleges or universities were eligible for any funds under sections 1011.32, 1011.85, 1011.94, or 1013.79, Florida Statutes, from July 1, 2018 to the present.</p> <p>Plaintiffs challenge the failure of the executive defendants to request matching funds pursuant to four programs: the Dr. Philip Benjamin Matching Grant Program for Florida College System Institutions, established pursuant to section 1011.85, Florida Statutes; the Florida College System Facility Enhancement Challenge Grant Program, established pursuant to section 1011.32, Florida Statutes; the University Major Gifts Program, established pursuant to section 1011.94, Florida Statutes; and the University Facility Enhancement Challenge Grant Program, established in section 1013.79, Florida Statutes.</p> | | |

| | |
|--|---|
| | <p>Plaintiffs filed Amended Complaints on September 19, 2018, following dismissal of the counts in the initial complaints alleging a violation of the single subject requirement in Article III, section 12 of the Florida Constitution and a violation of the adequacy requirement in Article IX, section 1(a).</p> <p>The Amended Complaint drops the Florida Legislature as a party, but adds the Department of Education and Mr. Patronis as defendants. It also alleges new causes of action for impairment of contracts under Article I, section 10 of the Constitution, restates the breach of contract claim against all defendants, except Mr. Patronis, adds a new claim for “damages”, adds a new claim seeking a writ of mandamus against Mr. Patronis to compel the CFO to pay any damages awarded, and drops the mandamus claim previously stated against the other defendants. \$600</p> |
| Amount of the Claim: | \$ 600-700 Million |
| Specific Statutes or Laws (including GAA) Challenged: | The 2011 amendments to the matching gift laws that temporarily suspended all four statutory programs in sections 1011.32, 1011.85, 1011.94, and 1013.79, Florida Statutes. |
| Status of the Case: | Answers to the two complaints are due on October 8, 2018. We are awaiting a call with counsel in the Attorney General’s office to discuss whether to file a motion to dismiss as to the impairment of contracts claim. The court previously rejected our motion to dismiss the breach of contract claim in the initial complaints on the basis the Board of Governors is not a party to the gift agreements and the gift agreements signed by Mr. Warren and Ms. Villacorta expressly provide that Florida State University cannot guarantee or warrant state matching funds. |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input type="checkbox"/> Agency Counsel |
| | <input checked="" type="checkbox"/> Office of the Attorney General or Division of Risk Management |
| | <input type="checkbox"/> Outside Contract Counsel |
| If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s). | <p>Eugene E. Stearns Grace L. Mead Morgan Q. McDonough Stearns Weaver Miller Weissler Alhadeff & Sitterson, P.A. Museum Tower 150 West Flagler Street Suite 2200 Miami, Florida 33130</p> <p>Glenn Burhans, Jr. Kelly O'Keefe Stearns Weaver Miller Weissler Alhadeff & Sitterson, P.A. Highpoint Center 106 East College Avenue Suite 700 Tallahassee, FL 32301</p> |

Board of Governors, State University System of Florida

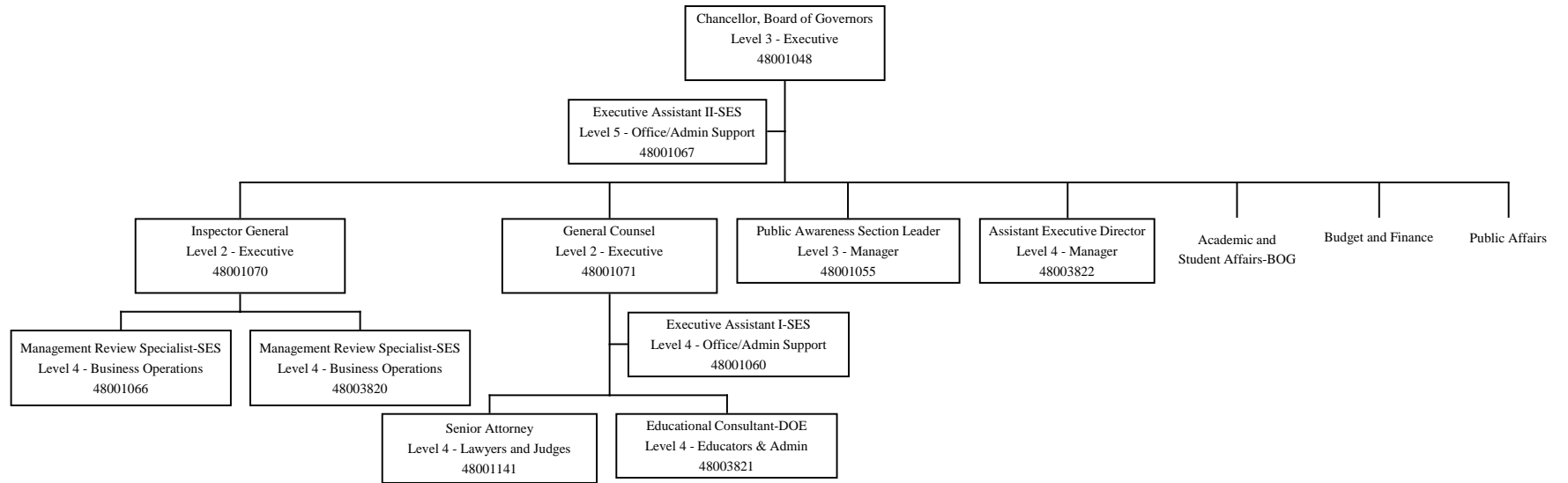
Organization Charts

July 2018

| | |
|---------------------------------|-----------|
| Office of the Chancellor | 11 |
| Office of Academic Affairs | 11 |
| Office of Budget and Finance | 40 |
| Information Resource Management | 11 |
| Budget | 13 |
| Facilities | 3 |
| Office of Data and Analytics | 13 |
| Office of Public Affairs | 3 |
| Total Positions | 65 |

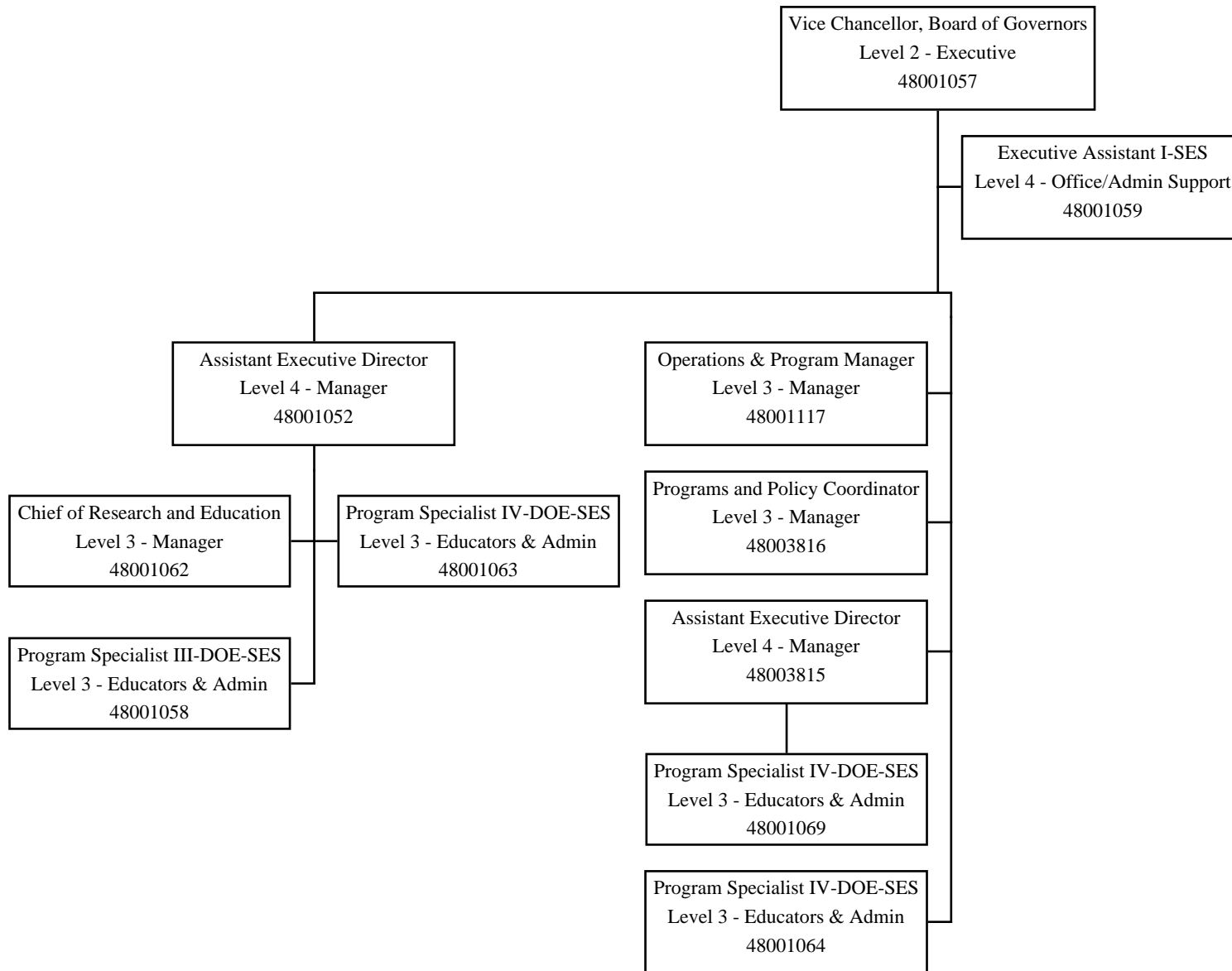
FLORIDA DEPARTMENT OF EDUCATION
 BOARD OF GOVERNORS
 OFFICE OF THE CHANCELLOR

DBS: 701001



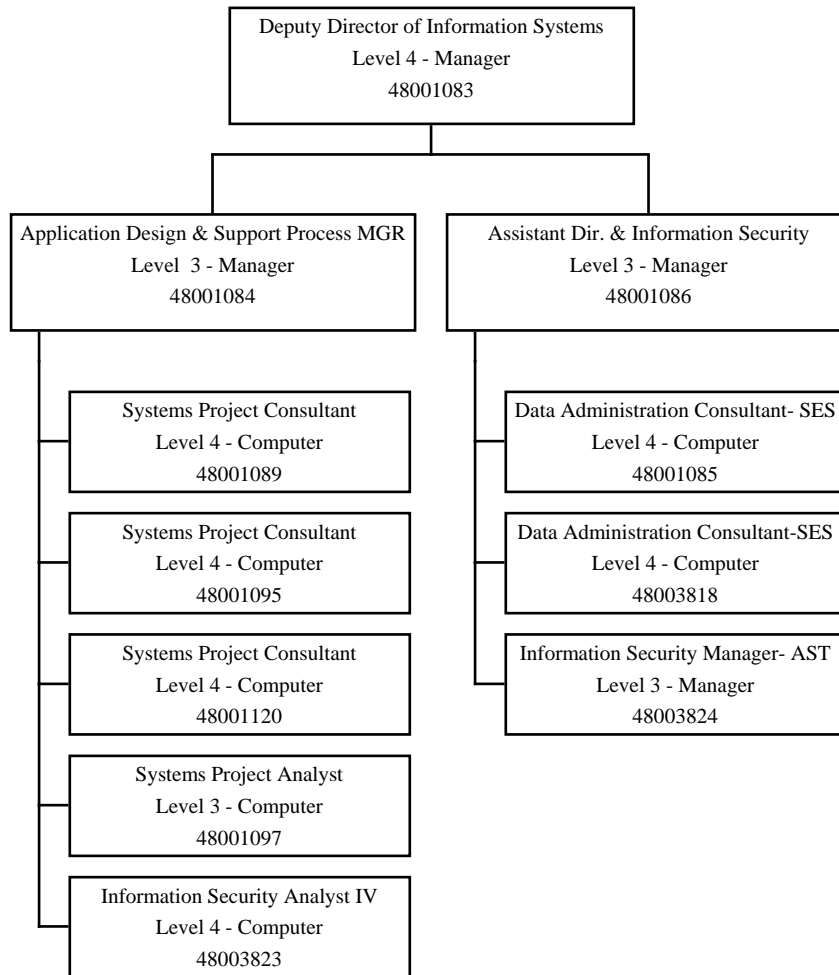
FLORIDA DEPARTMENT OF EDUCATION
 BOARD OF GOVERNORS
 ACADEMIC AND STUDENT AFFAIRS-BOG

DBS: 702001



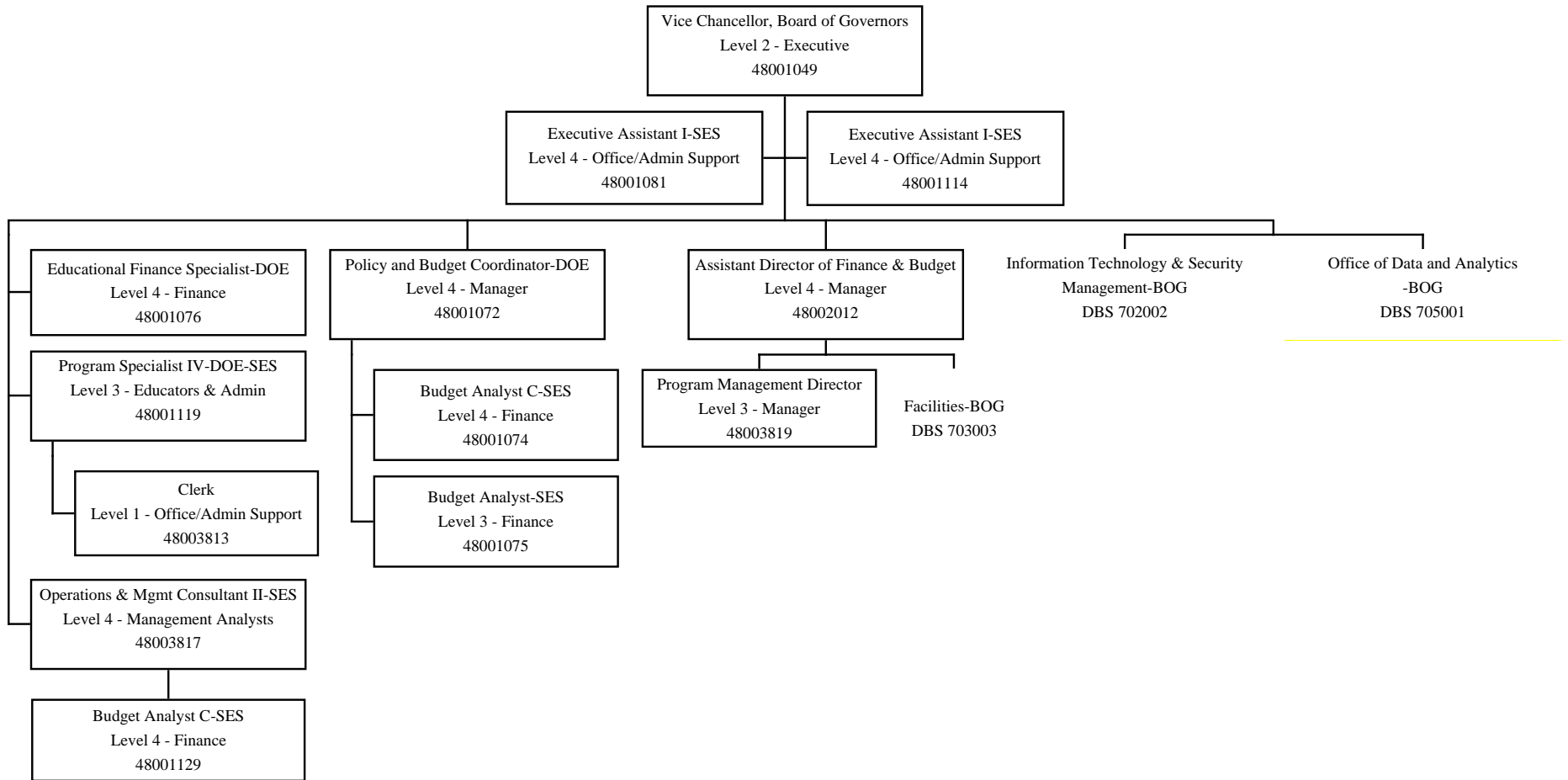
FLORIDA DEPARTMENT OF EDUCATION
 BOARD OF GOVERNORS
 BUDGET AND FINANCE
 INFORMATION TECHNOLOGY & SECURITY-BOG

DBS: 702002



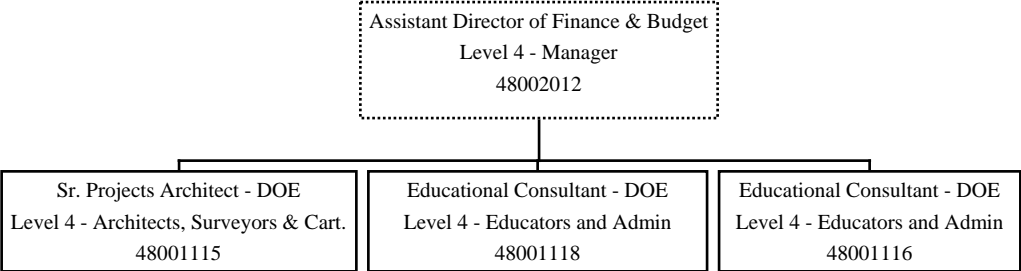
FLORIDA DEPARTMENT OF EDUCATION
 BOARD OF GOVERNORS
 BUDGET AND FINANCE

DBS: 703001



FLORIDA DEPARTMENT OF EDUCATION
BOARD OF GOVERNORS
BUDGET AND FINANCE
FACILITIES-BOG

DBS: 703003



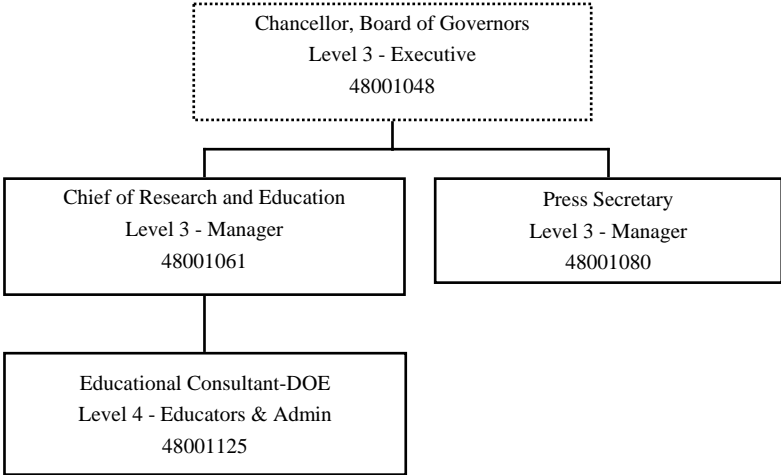
Position 48002012 Assigned to Supervise from 703001

07/01/2018

BOG-5

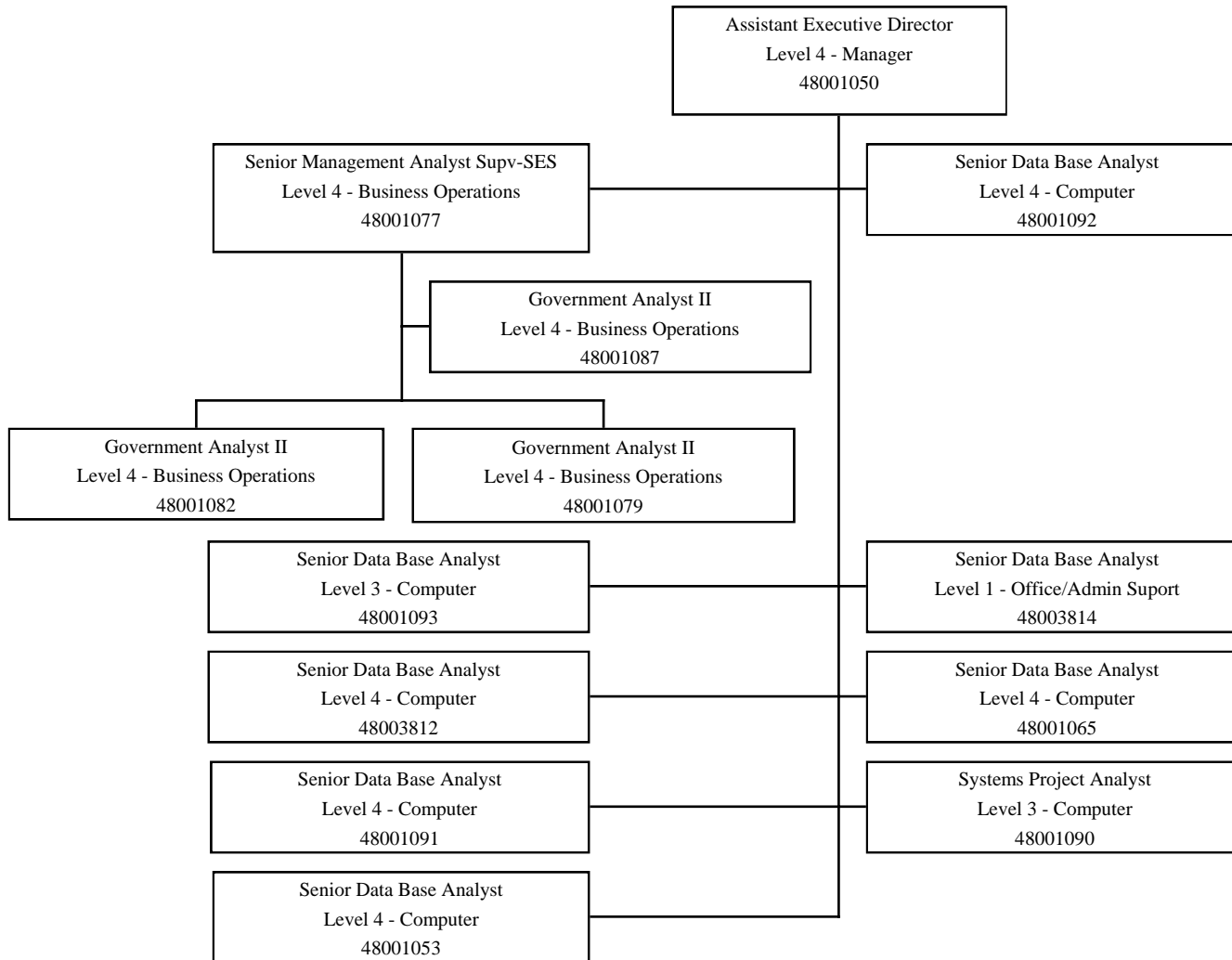
FTE - 3.00

FLORIDA DEPARTMENT OF EDUCATION
BOARD OF GOVERNORS
PUBLIC AFFAIRS



FLORIDA DEPARTMENT OF EDUCATION
 BOARD OF GOVERNORS
 BUDGET AND FINANCE
 OFFICE OF DATA AND ANALYTICS

DBS: 705001



State of Florida
Department of Education
State Universities
Education and General



2019-20
Exhibits or Schedules

State of Florida
Department of Education
State Universities
Education and General



2019-20
Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | ED/GEN STUD & OTHER FEES TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2164 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 0 | (A) | 0 | | 0 |
| ADD: Other Cash (See Instructions) | 0 | (B) | 0 | | 0 |
| ADD: Investments | 0 | (C) | 0 | | 0 |
| ADD: Outstanding Accounts Receivable | 0 | (D) | 0 | | 0 |
| ADD: _____ | 0 | (E) | 0 | | 0 |
| Total Cash plus Accounts Receivable | 0 | (F) | 0 | | 0 |
| LESS Allowances for Uncollectibles | 0 | (G) | 0 | | 0 |
| LESS Approved "A" Certified Forwards | 0 | (H) | 0 | | 0 |
| Approved "B" Certified Forwards | 0 | (H) | 0 | | 0 |
| Approved "FCO" Certified Forwards | 0 | (H) | 0 | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 0 | (I) | 0 | | 0 |
| LESS: _____ | 0 | (J) | 0 | | 0 |
| Unreserved Fund Balance, 07/01/18 | 0 | (K) | 0 | | 0 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

Department Title: 48 EDUCATION
Trust Fund Title: ED/GEN STUD & OTHER FEES TRUST FUND
LAS/PBS Fund Number: 2164

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

(D)

ADJUSTED BEGINNING TRIAL BALANCE: (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) (F)

DIFFERENCE: (G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--------------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | PHOSPHATE RESEARCH TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2530 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | | Adjusted Balance |
|---|----------------------------|-----|----------------------|--|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | [] | (A) | [] | | 0 |
| ADD: Other Cash (See Instructions) | [] | (B) | [] | | 0 |
| ADD: Investments | [] | (C) | [] | | 0 |
| ADD: Outstanding Accounts Receivable | [] | (D) | [] | | 0 |
| ADD: _____ | 7,146,732 | (E) | [] | | 7,146,732 |
| Total Cash plus Accounts Receivable | 7,146,732 | (F) | 0 | | 7,146,732 |
| LESS Allowances for Uncollectibles | [] | (G) | [] | | 0 |
| LESS Approved "A" Certified Forwards | [] | (H) | [] | | 0 |
| Approved "B" Certified Forwards | [] | (H) | [] | | 0 |
| Approved "FCO" Certified Forwards | [] | (H) | [] | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | [] | (I) | [] | | 0 |
| LESS: _____ | [] | (J) | [] | | 0 |
| Unreserved Fund Balance, 07/01/18 | 7,146,732 | (K) | 0 | | 7,146,732 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|--------------------------------------|-------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | PHOSPHATE RESEARCH TRUST FUND | |
| LAS/PBS Fund Number: | 2530 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

Total all GLC's 5XXXX for governmental funds; (A)
GLC 539XX for proprietary and fiduciary funds

Subtract Nonspendable Fund Balance (GLC 56XXX) (B)

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

SWFS Adjustment # and Description (C)

SWFS Adjustment # and Description (C)

Add/Subtract Other Adjustment(s):

Approved "B" Carry Forward (Encumbrances) per LAS/PBS (D)

Approved FCO Certified Forward per LAS/PBS (D)

A/P not C/F-Operating Categories (D)

(D)

(D)

7,146,732.00 (D)

ADJUSTED BEGINNING TRIAL BALANCE: 7,146,732.00 (E)

UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) 7,146,732.00 (F)

DIFFERENCE: 0.00 (G)*

***SHOULD EQUAL ZERO.**

Fiscal Year 2019-20 LBR Technical Review Checklist

| |
|--|
| Department/Budget Entity (Service): State University System / Educational & Genera |
| Agency Budget Officer/OPB Analyst Name: Dale Bradley / Jessica Wiginton |

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

| Action | Program or Service (Budget Entity Codes) | | | | |
|----------|--|--|--|--|--|
| 48900100 | | | | | |

1. GENERAL

| | | | | | | |
|-----|---|---|--|--|--|--|
| 1.1 | Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | | |
|-----|---|---|--|--|--|--|
| 1.3 | Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 | Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|-----|---|-----|--|--|--|--|

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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|--|--|--|--|
| Action | | 48900100 | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48900100 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 <u>annualized</u> . | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where <u>appropriate</u> ? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | 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 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 7.17 | Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)? | N/A | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | N/A | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|--|--|--|--|--|--|
| Action | | 48900100 | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | N/A | | | | |
| 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)) | 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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | N/A | | | | |
| 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 | | | | |
| 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? | N/A | | | | |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds? | Y | | | | |
| 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 | | | | |
| 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 | | | | |

| Action | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| | | 48900100 | | | | |
| 8.10 | Are the statutory authority references correct? | 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 | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | | | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | N/A | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | N/A | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | N/A | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | Y | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | N/A | | | | |
| 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.) | N/A | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | N/A | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | N/A | | | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | Y | | | | |
| 8.28 | Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis? | Y | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48900100 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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.) | N/A | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (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 | | | | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 14. SCHEDULE VIIIB-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.) | Y | | | | |
| 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 VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal) | | | | | | |
| 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 | | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|--|--|--|--|--|--|
| Action | | 48900100 | | | | |
| 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 | | | | |
| AUDIT: | | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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 | | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | | |
| 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 | | | | |
| 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") | N/A | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | N/A | | | | |
| 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 | | | | |
| 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) ? | N/A | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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) | | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|----------------------------------|---|--|--|--|--|
| Action | | 48900100 | | | |
| 18.1 | Are the CIP-2, CIP-3, CIP-A and CIP-B forms included? | N/A | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | 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? | 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 | | | |

State of Florida
Department of Education
Board of Governors



2019-20
Exhibits or Schedules

State of Florida
Department of Education
Board of Governors



2019-20
Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | OPERATIONS & MAINTENANCE TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2516 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | - | (A) | | - |
| ADD: Other Cash (See Instructions) | | (B) | | - |
| ADD: Investments | 15,866.23 | (C) | | 15,866.23 |
| ADD: Outstanding Accounts Receivable | 29.05 | (D) | | 29.05 |
| ADD: _____ | | (E) | | - |
| Total Cash plus Accounts Receivable | 15,895.28 | (F) | - | 15,895.28 |
| LESS Allowances for Uncollectibles | | (G) | | - |
| LESS Approved "A" Certified Forwards | | (H) | | - |
| Approved "B" Certified Forwards | | (H) | | - |
| Approved "FCO" Certified Forwards | | (H) | | - |
| LESS: Other Accounts Payable (Nonoperating) | 1.82 | (I) | | 1.82 |
| LESS: _____ | | (J) | | - |
| Unreserved Fund Balance, 07/01/18 | 15,893.46 | (K) | - | 15,893.46 ** |

Notes:

*SWFS = Statewide Financial Statement

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

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2019 - 2020

Department: OIGC

Chief Internal Auditor: Julie Leftheris

Budget Entity: _____

Phone Number: 850-245-9247

| (1) | (2) | (3) | (4) | (5) | (6) |
|--|------------------|-----------|--|---------------------------------------|---------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| There are no major findings or recommendations for the current or previous fiscal year to be reported for the 2019-2020 LBR. | | | | | |
| | | | | | |

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service): **Board of Governors/48900300**

Agency Budget Officer/OPB Analyst Name: **Heidie Bryant / Jessica Wiginton**

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 | 48900300 | | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|--|-----|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48900300 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48900300 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.3 | Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 69 through 72 of the LBR Instructions? | Y | | | | |
| 7.4 | Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented? | Y | | | | |
| 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 | | | | |
| 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. | N/A | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | N/A | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | 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 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48900300 | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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)? | Y | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Y | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | 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)) | N/A | | | | |
| TIP | Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative. | | | | | |
| TIP | The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 67 through 72 of the LBR Instructions. | | | | | |
| TIP | Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds. | | | | | |
| TIP | If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds). | | | | | |

| | | | | |
|--------|--|--|--|--|
| | Program or Service (Budget Entity Codes) | | | |
| Action | 48900300 | | | |

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 | | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | 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 | | | | |
| 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? | N/A | | | | |
| 8.7 | If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds? | Y | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.10 | Are the statutory authority references correct? | 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 | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | N/A | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | | | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | N/A | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | N/A | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|----------------|--|--|--|--|--|--|
| Action | | 48900300 | | | | |
| 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 | | | | |
| 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? | N/A | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | N/A | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | N/A | | | | |
| 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.) | N/A | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | N/A | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | N/A | | | | |
| 8.26 | Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records? | Y | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |
| AUDITS: | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48900300 | | | | |
| 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 | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | Y | | | | |
| 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (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 | | | | |
| 13. SCHEDULE VIIIB-1 (EADR, S8B1) | | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | | |
| 14. SCHEDULE VIIIB-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.) | Y | | | | |
| 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 VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal) | | | | | | |
| 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 | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|---|---|--|--|--|--|
| Action | | 48900300 | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | |
| AUDIT: | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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 | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | 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 | | | |
| 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 | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|---|--|--|--|--|
| Action | | 48900300 | | | |
| 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 | | | |
| 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) ? | N/A | | | |
| AUDITS - GENERAL INFORMATION | | | | | |
| 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? | N/A | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | 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? | 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 | | | |

October 1, 2018

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


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

Cindy Kynoch, Staff Director
Senate Committee on Appropriations
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Long Range Program Plan (LRPP) for the (insert name of department) is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our mission, goals, objectives and measures for the Fiscal Year 2019-20 through Fiscal Year 2023-24. The internet website address that provides the link to the LRPP located on the Florida Fiscal Portal is http://www.floridaearlylearning.com/about_us.aspx.

This submission has been approved by Rodney J. MacKinnon, Executive Director.



Rodney J. MacKinnon

RODNEY J. MACKINNON
EXECUTIVE DIRECTOR, OFFICE OF EARLY LEARNING



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

2019-20

Department Level

Exhibits and 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.

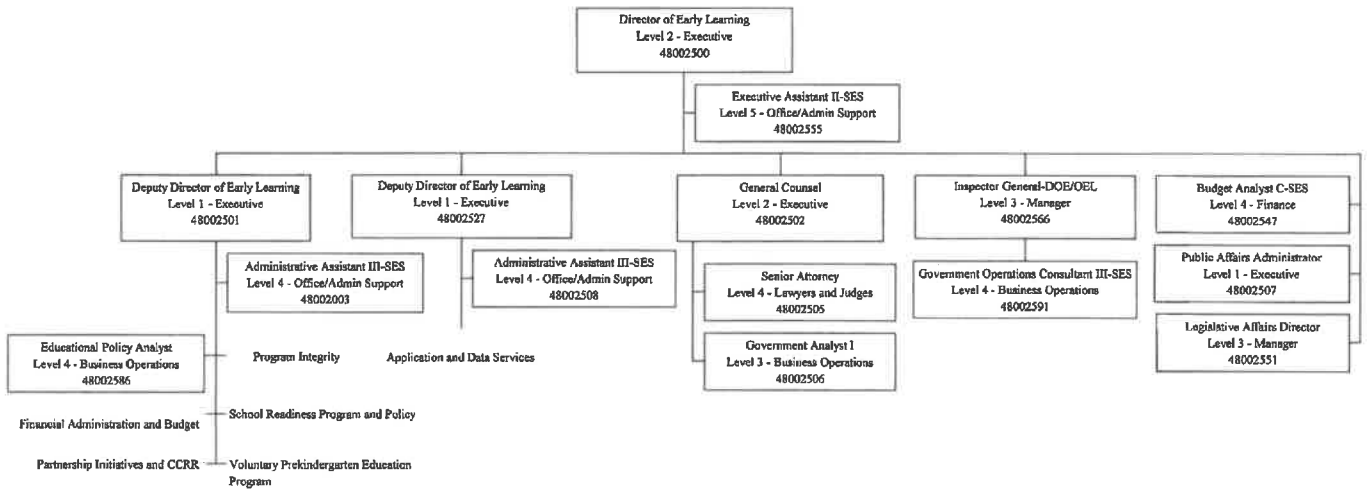
| | | | |
|---|--|---|----------------|
| Agency: | Office of Early Learning, Florida Department of Education | | |
| Contact Person: | Maggi O'Sullivan Parker | Phone Number: | (850) 717-8576 |
| | | | |
| Names of the Case: (If no case name, list the names of the plaintiff and defendant.) | Nakia Brady v. Florida Department of Education | | |
| Court with Jurisdiction: | Florida Second Judicial Circuit (Leon County) | | |
| Case Number: | 2017-CA-002047 | | |
| Summary of the Complaint: | <p>African-American employee claims racial discrimination and retaliation. She alleges:</p> <ul style="list-style-type: none"> • disparate treatment from white female supervisor with respect to leave and time sheets, work assignments, and exclusion from activities • disclosure of confidential medical information • unequal pay compared to white employees • interference with potential promotion to position at DOE • retaliation for filing complaint and participating in IG investigation | | |
| Amount of the Claim: | Unspecified. Plaintiff is seeking injunctive relief and damages for mental anguish, emotional distress, loss of benefits, illness, lost wages, and other intangible damages. | | |
| Specific Statutes or Laws (including GAA) Challenged: | Claim is filed under Chapter 760, Florida Statutes. | | |
| Status of the Case: | In discovery phase. Case is set for trial in three-week period starting March 18, 2019. | | |
| Who is representing (of record) the state in this lawsuit? Check all that apply. | <input checked="" type="checkbox"/> | Agency Counsel | |
| | <input checked="" 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). | n/a |
|--|-----|

Office of Policy and Budget – June 2018

FLORIDA DEPARTMENT OF EDUCATION
 COMMISSIONER OF EDUCATION
 OFFICE OF EARLY LEARNING
 OFFICE OF THE DIRECTOR

DBS: 753000



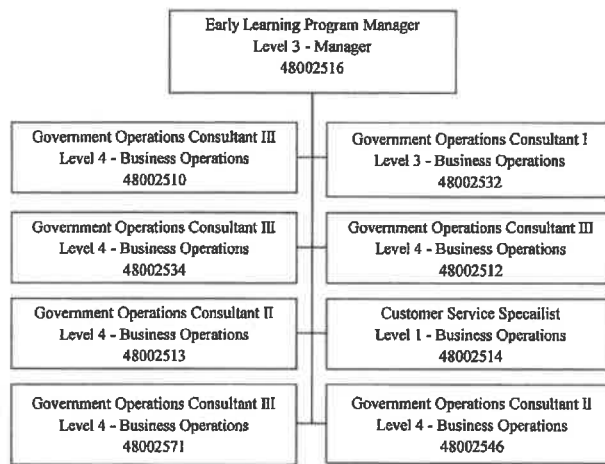
04/01/2018

OEL-1

FTE - 15.00

FLORIDA DEPARTMENT OF EDUCATION
COMMISSIONER OF EDUCATION
OFFICE OF EARLY LEARNING
PARTNERSHIP INITIATIVES AND CCRR

DBS: 753010



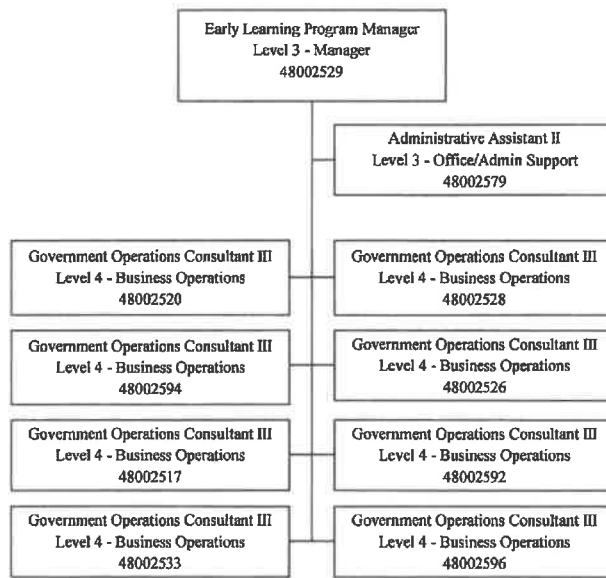
04/01/2018

OEL-2

FTE - 9.00

FLORIDA DEPARTMENT OF EDUCATION
 COMMISSIONER OF EDUCATION
 OFFICE OF EARLY LEARNING
 SCHOOL READINESS PROGRAM AND POLICY

DBS: 753020



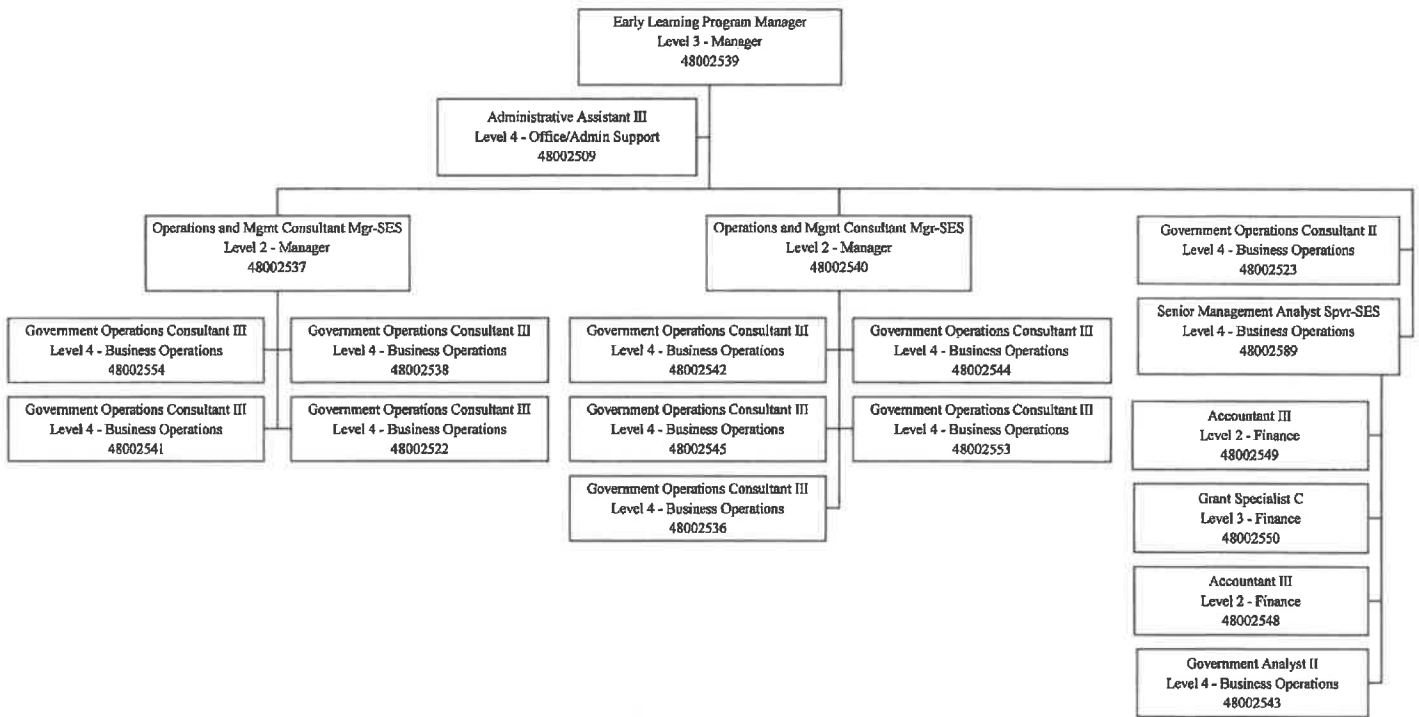
04/01/2018

OEL-3

FTE - 10.00

FLORIDA DEPARTMENT OF EDUCATION
 COMMISSIONER OF EDUCATION
 OFFICE OF EARLY LEARNING
 FINANCIAL ADMINISTRATION AND BUDGET

DBS: 753030



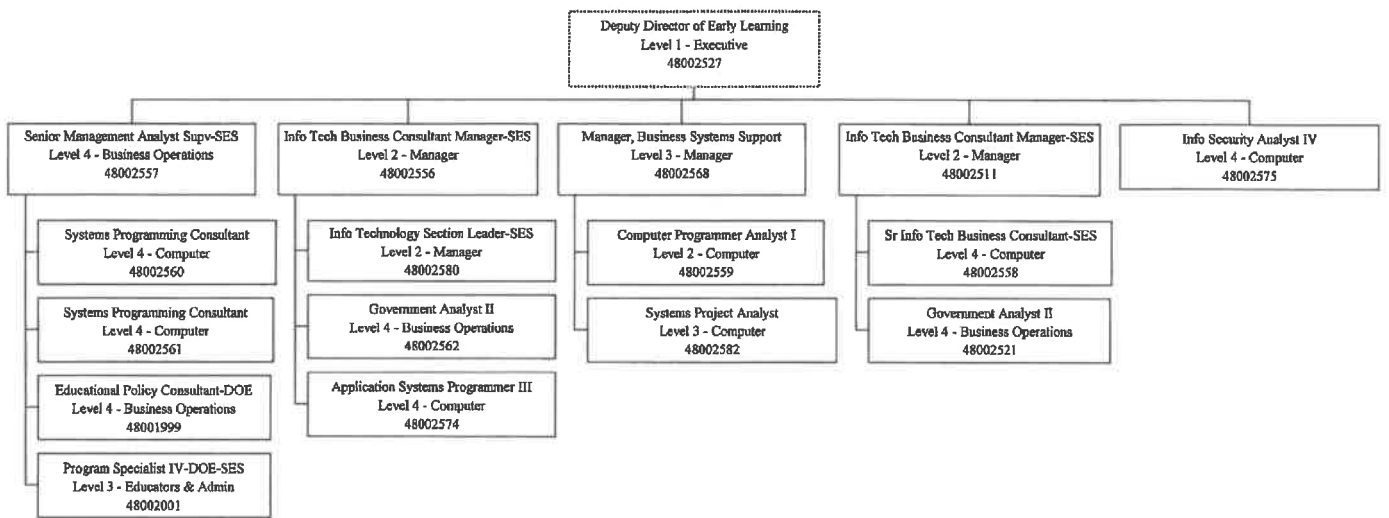
04/01/2018

OEL-4

FTE - 19.00

FLORIDA DEPARTMENT OF EDUCATION
 COMMISSIONER OF EDUCATION
 OFFICE OF EARLY LEARNING
 APPLICATION AND DATA SERVICES

DBS: 753040



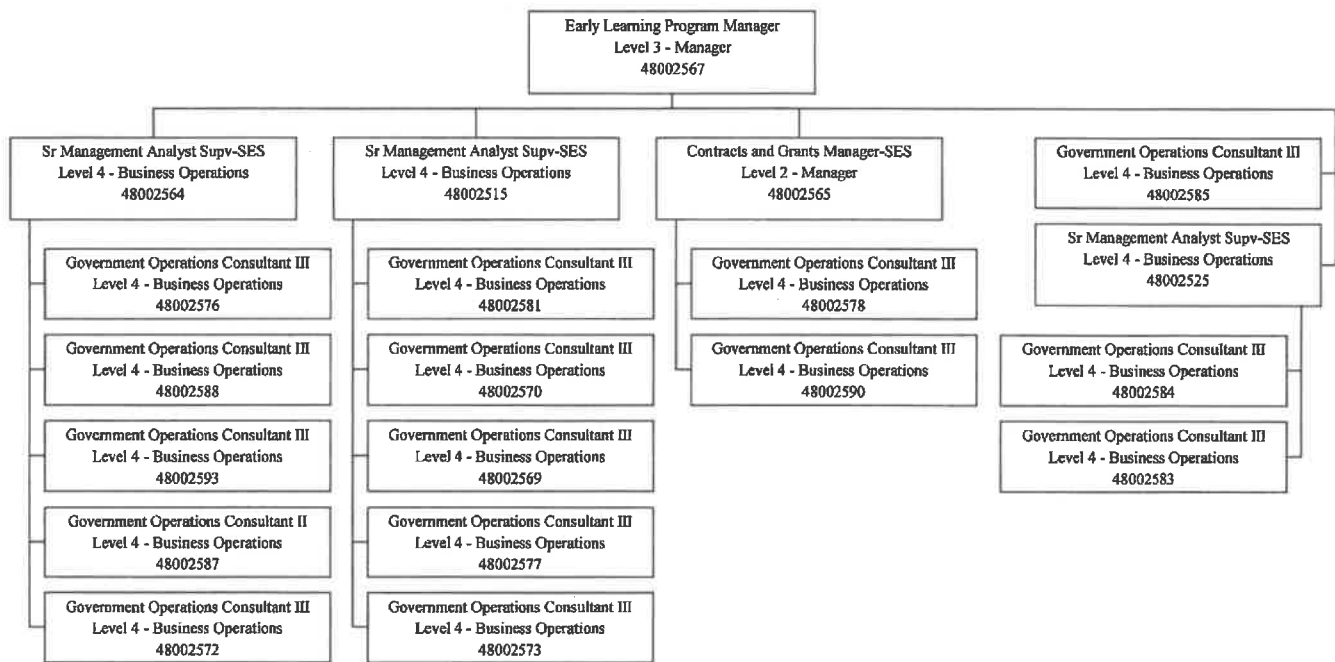
04/01/2018

OEL-5

FTE - 16.00

FLORIDA DEPARTMENT OF EDUCATION
 COMMISSIONER OF EDUCATION
 OFFICE OF EARLY LEARNING
 PROGRAM INTEGRITY

DBS: 753060



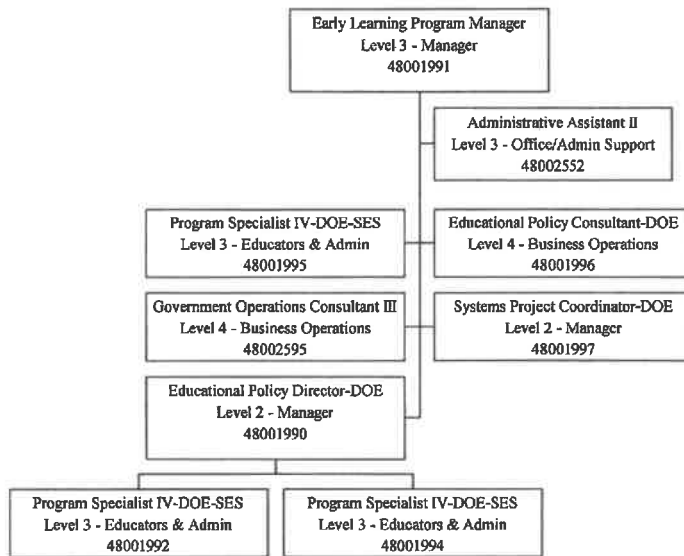
07/01/2018

OEL-6

FTE - 20.00

FLORIDA DEPARTMENT OF EDUCATION
 COMMISSIONER OF EDUCATION
 OFFICE OF EARLY LEARNING
 VOLUNTARY PREKINDERGARTEN EDUCATION PROGRAM

DBS: 753070



04/01/2018

OEL-7

FTE - 9.00

 SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

 AUDIT #1: THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD
 (RECORD TYPE 5) AND SHOULD NOT:

*** NO ACTIVITIES FOUND ***

 AUDIT #2: THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT:
 (NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION
 TECHNOLOGY)

*** NO OPERATING CATEGORIES FOUND ***

 AUDIT #3: THE ACTIVITIES LISTED IN AUDIT #3 DO NOT HAVE AN ASSOCIATED OUTPUT STANDARD. IN ADDITION, THE
 ACTIVITIES WERE NOT IDENTIFIED AS A TRANSFER-STATE AGENCIES, AS AID TO LOCAL GOVERNMENTS, OR A PAYMENT OF
 PENSIONS, BENEFITS AND CLAIMS (ACT0430). ACTIVITIES LISTED HERE SHOULD REPRESENT TRANSFERS/PASS THROUGH
 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.

| BE | PC | CODE | TITLE | EXPENDITURES | FCO |
|----------|------------|---------|---------------------------------|--------------|-----|
| 48220400 | 1307000000 | ACT0990 | HEAD START COLLABORATION OFFICE | 169,000 | |

 AUDIT #4: TOTALS FROM SECTION I AND SECTIONS II + III:

| DEPARTMENT: 48 | EXPENDITURES | FCO |
|--|---------------|-------|
| FINAL BUDGET FOR AGENCY (SECTION I): | 1,065,419,660 | |
| TOTAL BUDGET FOR AGENCY (SECTIONS II + III): | 1,065,419,657 | |
| DIFFERENCE: | 3 | |
| (MAY NOT EQUAL DUE TO ROUNDING) | ===== | ===== |



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

2019-20

Early Learning Services

Exhibits or Schedules



FLORIDA DEPARTMENT OF
EDUCATION
fldoe.org

2019-20

Early Learning Services

Schedule I Series

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|-----------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | CHILD CARE/DEV BLK GRNT TF |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2098 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|------------|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 279,635 | (A) | | 279,635 |
| ADD: Other Cash (See Instructions) | 30,943 | (B) | | 30,943 |
| ADD: Investments | | (C) | | 0 |
| ADD: Outstanding Accounts Receivable | 4,482,417 | (D) | | 4,482,417 |
| ADD: ANTICIPATED REVENUE | 23,817,739 | (E) | | 23,817,739 |
| Total Cash plus Accounts Receivable | 28,610,734 | (F) | 0 | 28,610,734 |
| LESS Allowances for Uncollectibles | 16,779 | (G) | | 16,779 |
| LESS Approved "A" Certified Forwards | 2,955,789 | (H) | | 2,955,789 |
| Approved "B" Certified Forwards | 23,415,009 | (H) | | 23,415,009 |
| | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | 2,223,157 | (I) | | 2,223,157 |
| LESS: _____ | | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | 0 | (K) | 0 | 0 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|-----------------------------------|-------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | CHILD CARE/DEV BLK GRNT TF | |
| LAS/PBS Fund Number: | 2098 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|-------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 0.00 | (A) |
|--|-------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|-----------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (23,415,009.18) | (D) |
|---|-----------------|-----|

| | | |
|--|--|-----|
| Approved FCO Certified Forward per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|----------|-----|
| A/P not C/F-Operating Categories | 1,248.13 | (D) |
|----------------------------------|----------|-----|

| | | |
|---|----------------|-----|
| OTHER LOANS AND NOTES RECEIVABLE, LONG TERM | (2,240,447.65) | (D) |
|---|----------------|-----|

| | | |
|---|--------------|-----|
| ALLOWANCE FOR UNCOLLECTIBLES, LONG TERM | 1,836,469.99 | (D) |
|---|--------------|-----|

| | | |
|---------------------|---------------|-----|
| ANTICIPATED REVENUE | 23,817,738.71 | (D) |
|---------------------|---------------|-----|

| | | |
|--|-------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 0.00 | (E) |
|--|-------------|-----|

| | | |
|--|-------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 0.00 | (F) |
|--|-------------|-----|

| | | |
|--------------------|---------------|------|
| DIFFERENCE: | (0.00) | (G)* |
|--------------------|---------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | FEDERAL GRANTS TRUST FUND |
| LAS/PBS Fund Number: | 48220400- EARLY LEARNING SERVICES |
| | 2261 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 121,248 | (A) | | 121,248 |
| ADD: Other Cash (See Instructions) | | (B) | | 0 |
| ADD: Investments | | (C) | | 0 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0 |
| ADD: ANTICIPATED REVENUE | 152,730 | (E) | | 152,730 |
| Total Cash plus Accounts Receivable | 273,978 | (F) | 0 | 273,978 |
| LESS Allowances for Uncollectibles | | (G) | | 0 |
| LESS Approved "A" Certified Forwards | | (H) | | 0 |
| Approved "B" Certified Forwards | 273,978 | (H) | | 273,978 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0 |
| LESS: _____ | | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | 0 | (K) | 0 | 0 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|----------------------------------|---------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | FEDERAL GRANTS TRUST FUND | |
| LAS/PBS Fund Number: | 2261 | BE: 48220400 |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|---|-------------------|-----|
| Total all GLC's 5XXXX for governmental funds; | 121,248.04 | (A) |
| GLC 539XX for proprietary and fiduciary funds | | |

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|---------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (273,977.92) | (D) |
|---|---------------------|-----|

| | | |
|--|--|-----|
| Approved FCO Certified Forward per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | | (D) |
|----------------------------------|--|-----|

| | | |
|---------------------|-------------------|-----|
| ANTICIPATED REVENUE | 152,730.00 | (D) |
|---------------------|-------------------|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 0.12 | (E) |
|--|-------------|-----|

| | | |
|--|-------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 0.12 | (F) |
|--|-------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

| | |
|-----------------------------|--------------------------------------|
| Department Title: | Budget Period: 2019 - 2020 |
| Trust Fund Title: | 48 EDUCATION |
| Budget Entity: | WELFARE TRANSITION TRUST FUND |
| LAS/PBS Fund Number: | DEPARTMENT |
| | 2401 |

| | Balance as of 6/30/2018 | | SWFS* Adjustments | Adjusted Balance |
|---|----------------------------|-----|----------------------|---------------------|
| Chief Financial Officer's (CFO) Cash Balance | 609,191 | (A) | | 609,191 |
| ADD: Other Cash (See Instructions) | | (B) | | 0 |
| ADD: Investments | | (C) | | 0 |
| ADD: Outstanding Accounts Receivable | | (D) | | 0 |
| ADD: _____ | | (E) | | 0 |
| Total Cash plus Accounts Receivable | 609,191 | (F) | 0 | 609,191 |
| LESS Allowances for Uncollectibles | | (G) | | 0 |
| LESS Approved "A" Certified Forwards | | (H) | | 0 |
| Approved "B" Certified Forwards | 372,623 | (H) | | 372,623 |
| Approved "FCO" Certified Forwards | | (H) | | 0 |
| LESS: Other Accounts Payable (Nonoperating) | | (I) | | 0 |
| LESS: _____ | | (J) | | 0 |
| Unreserved Fund Balance, 07/01/18 | 236,568 | (K) | 0 | 236,568 ** |

Notes:

*SWFS = Statewide Financial Statement

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

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2019 - 2020

| | | |
|-----------------------------|--------------------------------------|-------------------|
| Department Title: | 48 EDUCATION | |
| Trust Fund Title: | WELFARE TRANSITION TRUST FUND | |
| LAS/PBS Fund Number: | 2401 | DEPARTMENT |

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/18

| | | |
|--|-------------------|-----|
| Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds | 609,191.08 | (A) |
|--|-------------------|-----|

| | | |
|---|--|-----|
| Subtract Nonspendable Fund Balance (GLC 56XXX) | | (B) |
|---|--|-----|

Add/Subtract Statewide Financial Statement (SWFS) Adjustments :

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

| | | |
|-----------------------------------|--|-----|
| SWFS Adjustment # and Description | | (C) |
|-----------------------------------|--|-----|

Add/Subtract Other Adjustment(s):

| | | |
|---|---------------------|-----|
| Approved "B" Carry Forward (Encumbrances) per LAS/PBS | (372,623.37) | (D) |
|---|---------------------|-----|

| | | |
|--|--|-----|
| Approved FCO Certified Forward per LAS/PBS | | (D) |
|--|--|-----|

| | | |
|----------------------------------|--|-----|
| A/P not C/F-Operating Categories | | (D) |
|----------------------------------|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|--|-----|
| | | (D) |
|--|--|-----|

| | | |
|--|-------------------|-----|
| ADJUSTED BEGINNING TRIAL BALANCE: | 236,567.71 | (E) |
|--|-------------------|-----|

| | | |
|--|-------------------|-----|
| UNRESERVED FUND BALANCE, SCHEDULE IC (Line K) | 236,567.71 | (F) |
|--|-------------------|-----|

| | | |
|--------------------|-------------|------|
| DIFFERENCE: | 0.00 | (G)* |
|--------------------|-------------|------|

***SHOULD EQUAL ZERO.**

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2018 - 2019

Department: Education

Chief Internal Auditor: Sarah Beth Hall

Budget Entity: Office of Early Learning

Phone Number: 850-717-8686

| (1) | (2) | (3) | (4) | (5) | (6) |
|---------------|---------------|-----------|--|---|------------|
| REPORT NUMBER | PERIOD ENDING | UNIT/AREA | SUMMARY OF FINDINGS AND RECOMMENDATIONS | SUMMARY OF CORRECTIVE ACTION TAKEN | ISSUE CODE |
| 2016-192 | 6/30/2018 | OEL | <p>AG Finding No. 1: OEL Enhanced Field System (EFS) data analysis and monitoring processes need improvement to ensure that the School Readiness Program data used as the basis for provider reimbursements and State and Federal reporting is accurate. In addition, our EFS data analyses disclosed instances in which excess reimbursements were made.</p> <p>AG Recommendation 1: To improve the accuracy of EFS data and detect potential errors and improprieties, we recommend that OEL management ensure that appropriate data analyses are conducted.</p> <p>AG Recommendation 2: We also recommend that OEL management ensure that the coalitions' review and follow up on any matters identified by data analyses be subject to</p> | <p>The EFS Modernization Project is replacing EFS. With the EFS Modernization Project we have implemented data integrity controls with the development of the application. Also, with the purchase of the new reporting/data analytics tool, Tableau, data analysis will be more efficient.</p> <p>As previously stated in the response to the preliminary and tentative audit findings, beginning in the fall of fiscal year 2015-16, OEL resumed more comprehensive edit report technical assistance (TA) reviews in addition to the edit reports reviewed with accountability monitoring. In total, OEL is reviewing nine additional edit reports for each early learning coalition and RCMA (where applicable). Four of the nine edit reports evaluate dual enrollments for voluntary prekindergarten (VPK) and overlapping payments for school readiness (SR).</p> | |
| 2016-192 | 6/30/2018 | OEL | <p>AG Finding No. 2: Information technology (IT) controls for the EFS, the Single Point of Entry (SPE), and the Unified Wait List (UWL) need enhancement.</p> <p>AG Recommendation 1: We recommend that OEL management establish change management controls that document the appropriate authorization, testing, approval, and tracking of program modifications to the EFS, the SPE, and the UWL.</p> <p>AG Recommendation 2: In addition, we recommend that OEL management perform periodic reviews of the appropriateness of EFS and UWL user access privileges and ensure that the timely deactivation of EFS and UWL access privileges upon an employee's separation from</p> | <p>The EFS Modernization Project is replacing EFS, SSPE and UWL. The modernization project has addressed and initiated a change management process and a quality assurance process to track program approvals, development items and issues found in testing. OEL tracks source code through Microsoft Team Foundation Server based on what functionality has been approved for release. Finally, as a routine part of annual fiscal monitoring tasks applied to all coalitions, OEL will continue to sample internal controls, policies and processes at the local level that deactivate access to systems for outgoing and terminated employees.</p> | |

| | | | | | |
|----------|-----------|-----|---|---|--|
| 2016-192 | 6/30/2018 | OEL | <p>the EFS and the UWL related to user authentication need improvement to ensure the continued confidentiality, integrity, and availability of EFS and UWL client data and related IT resources.</p> <p>AG Recommendation 1: We recommend that OEL management strengthen security controls for the EFS and the UWL related to user authentication to ensure the continued confidentiality, integrity, and availability of EFS and UWL client data and related IT resources.</p> | <p>off-boarding process to ensure timely removal of user access and will communicate that process to the coalitions. The EFS Modernization Project is replacing EFS and UWL. With the EFS Modernization Project, OEL will be implementing a stronger user authentication password scheme. Finally, as a routine part of annual fiscal monitoring tasks applied to all coalitions, OEL will continue to sample internal controls, policies and processes at the local level that deactivate access to systems for outgoing and terminated employees.</p> | |
| 2016-192 | 6/30/2018 | OEL | <p>appropriately document the School Readiness Program curricula review and approval process or ensure that all individuals responsible for reviewing and approving curricula satisfied established requirements.</p> <p>AG Recommendation 1: We recommend that OEL management ensure that the review and approval process for all School Readiness Program curricula is appropriately documented and that all Committee members satisfy established requirements.</p> | <p>off-boarding process to ensure timely removal of user access and will communicate that process to the coalitions. The EFS Modernization Project is replacing EFS and UWL. With the EFS Modernization Project, OEL will be implementing a stronger user authentication password scheme. Finally, as a routine part of annual fiscal monitoring tasks applied to all coalitions, OEL will continue to sample internal controls, policies and processes at the local level that deactivate access to systems for outgoing and terminated employees.</p> | |
| 2016-192 | 6/30/2018 | OEL | <p>appropriately document the School Readiness Program curricula review and approval process or ensure that all individuals responsible for reviewing and approving curricula satisfied established requirements.</p> <p>AG Recommendation 1: We recommend that OEL management ensure that the review and approval process for all School Readiness Program curricula is appropriately documented and that all Committee members satisfy established requirements.</p> | <p>The next curricula review cycle will not occur until, at the earliest, during the summer of 2017. In the meantime, the rules governing the policies for the next cycle are being reviewed for modifications to address the recommendations made by the Auditor General. When the rule promulgation process begins, the OIG will be included on any correspondence in order to be kept abreast of the development and implementation of the new policies.</p> | |

Fiscal Year 2019-20 LBR Technical Review Checklist

Department/Budget Entity (Service): Office of Early Learning - Dept of Education

Agency Budget Officer/OPB Analyst Name: Bill Ammons

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 Code) | | | |
| Action | 48220400 | | | |

1. GENERAL

| | | | | | |
|---|---|--|--|--|--|
| 1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDC or Web LBR Column Security) | 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 | | | | |

AUDITS:

| | | | | | |
|--|---|--|--|--|--|
| 1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA) | 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 | | | | |
| 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 | | | | |
| 2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included? | 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 | | | | |

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 | | | | |
|---|-----|--|--|--|--|

AUDITS:

| | | Program or Service (Budget Entity Codes) | | | | |
|------------------------------------|--|--|--|--|--|--|
| Action | | 48220400 | | | | |
| 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 | | | | |
| 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 | | | | |
| TIP | Generally look for and be able to fully explain significant differences between A02 and A03. | | | | | |
| TIP | Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero. | | | | | |
| TIP | Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, a Special Categories appropriation category (10XXXX) should be used. | | | | | |
| 4. EXHIBIT D (EADR, EXD) | | | | | | |
| 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 | | | | |
| 4.2 | Is the program component code and title used correct? | Y | | | | |
| TIP | Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A. | | | | | |
| 5. EXHIBIT D-1 (ED1R, EXD1) | | | | | | |
| 5.1 | Are all object of expenditures positive amounts? (This is a manual check.) | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---|---|--|--|--|--|--|
| Action | | 48220400 | | | | |
| 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? | | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.7 | Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A. (See pages 95 and 96 of the LBR Instructions.) | N/A | | | | |
| 7.8 | Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate? | Y | | | | |
| 7.9 | Does the issue narrative reference the specific county(ies) where applicable? | Y | | | | |
| 7.10 | Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #19-002? | N/A | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|---------------|---|--|--|--|--|--|
| Action | | 48220400 | | | | |
| 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 | | | | |
| 7.12 | Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions? | N/A | | | | |
| 7.13 | Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions? | N/A | | | | |
| 7.14 | Do the amounts reflect appropriate FSI assignments? | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 7.18 | Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)? | N/A | | | | |
| 7.19 | Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development? | Y | | | | |
| AUDIT: | | | | | | |
| 7.20 | Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1) | Y | | | | |
| 7.21 | Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2) | Y | | | | |
| 7.22 | Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3) | 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)) | 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. | | | | | |

| | | Program or Service (Budget Entity Codes) | | | |
|--|--|--|--|--|--|
| Action | | 48220400 | | | |
| 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 | | | |
| 8.2 | Has a Schedule I and Schedule IB been completed in LAS/PBS for each operating trust fund? | 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 | | | |
| 8.4 | Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs? | N/A | | | |
| 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)? | N/A | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 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 | | | |
| 8.10 | Are the statutory authority references correct? | Y | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--------|--|--|--|--|--|--|
| Action | | 48220400 | | | | |
| 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.) | N/A | | | | |
| 8.12 | Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts? | Y | | | | |
| 8.13 | If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable? | Y | | | | |
| 8.14 | Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used? | Y | | | | |
| 8.15 | Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)? | Y | | | | |
| 8.16 | Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A? | Y | | | | |
| 8.17 | If applicable, are nonrecurring revenues entered into Column A04? | N/A | | | | |
| 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 | | | | |
| 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? | N/A | | | | |
| 8.20 | Are appropriate General Revenue Service Charge nonoperating amounts included in Section II? | N/A | | | | |
| 8.21 | Are nonoperating expenditures to other budget entities/departments cross-referenced accurately? | 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 | | | | |
| 8.23 | Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III? | Y | | | | |
| 8.24 | Are prior year September operating reversions appropriately shown in column A01, Section III? | Y | | | | |
| 8.25 | Are current year September operating reversions (if available) appropriately shown in column A02, Section III? | 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 | | | | |
| 8.27 | Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III? | 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 | | | | |
| 8.29 | Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC? | Y | | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
|--|---|--|--|--|--|--|
| Action | | 48220400 | | | | |
| AUDITS: | | | | | | |
| 8.30 | Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit). | 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 | | | | |
| 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 | | | | |
| 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 | | | | |
| 8.34 | Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC? | 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 | | | | |
| 10. SCHEDULE III (PSCR, SC3) | | | | | | |
| 10.1 | Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.) | 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. | N/A | | | | |
| 11. SCHEDULE IV (EADR, SC4) | | | | | | |
| 11.1 | Are the correct Information Technology (IT) issue codes used? | 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 VIIIA (EADR, SC8A) | | | | | | |

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| | | Program or Service (Budget Entity Codes) | | | |
| Action | | 48220400 | | | |
| 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 | | | |
| 13. SCHEDULE VIII B-1 (EADR, S8B1) | | | | | |
| 13.1 | NOT REQUIRED FOR THIS YEAR | | | | |
| 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.) | Y | | | |
| 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) | | | | | |
| 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 | | | |
| 15.2 | Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions? | 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 | | | |
| AUDIT: | | | | | |
| 15.6 | Do the issues net to zero at the department level? (GENR, LBR5) | 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 | | | |
| 16.2 | Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match? | 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 | | | |
| 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 | | | |

| | | Program or Service (Budget Entity Codes) | | | | |
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| Action | | 48220400 | | | | |
| 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 | | | | |
| 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 | | | | |
| 16.7 | Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found") | N - off by \$3 | | | | |
| 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 | | | | |
| 17.2 | Does manual exhibits tie to LAS/PBS where applicable? | Y | | | | |
| 17.3 | Are agency organization charts (Schedule X) provided and at the appropriate level of detail? | 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 | | | | |
| 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) ? | N/A | | | | |
| AUDITS - GENERAL INFORMATION | | | | | | |
| 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? | N/A | | | | |
| 18.2 | Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)? | N/A | | | | |
| 18.3 | Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)? | N/A | | | | |
| 18.4 | Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)? | N/A | | | | |
| 18.5 | Are the appropriate counties identified in the narrative? | 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? | N/A | | | | |

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| | Program or Service (Budget Entity Codes) | | | |
| Action | 48220400 | | | |

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| <p>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.</p> | |
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| 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 | | |